

Supporting Increased Participation of Governments of Limited Means in IWC Work

Submitted by the Secretariat

1. Background

- 1.1. [Resolution 2016-6](#) established the creation of a fund to strengthen the participation of Governments of Limited Means in the work of the IWC (the Voluntary Assistance Fund).
- 1.2. It allows for voluntary funds to be utilised to facilitate the full participation of eligible Governments categorised in Capacity to Pay Groups 1 and 2 of the Commission funding formula who are not EU or OECD members and not in arrears.
- 1.3. IWC financial regulations require a biennial update to the Commission on the progress of the fund. This paper seeks to:
 - ✓ Provide this update, including the participation funded to date and any lessons learned so far.
 - ✓ Provide options for discussion on further means to support the increased participation of Governments of Limited Means.

2. Review of the Implementation of the Voluntary Assistance Fund

2.1. Progress to Date

- 2.2. The fund was established in 2016 using £23,288 of unspent funds in the former 'Operations Fund', which supported the 'Future of the IWC' process. Since then, voluntary contributions have been gratefully received as follows:

| | |
|--|----------------------|
| Government of France (EUR 10,000) | £ 8,596 ¹ |
| Government of The Netherlands (EUR 10,000) | £ 8,620 ² |
| Government of the United States (USD 25,000) | <u>£ 18,471</u> |
| Total | £35,687 |

- 2.3. Contributions from the Governments of France and the Netherlands were given specifically to fund participation at the biennial Commission Meeting only.
- 2.4. In 2017, 5 participants were funded to attend the Scientific Committee (SC) Meeting in Bled at a total cost of £16,763. For the 2018 SC meeting, another 3 participants have been funded at a cost of £10,237. Full details on the balance of the fund is given in Annex A to this report, along with details of participation to date.
- 2.5. To date, funds have been sufficient to cover all applications for support, however, as awareness of the fund increases this may not always be the case.

2.6. Issues to Consider & Recommendations for Improvements

Applications to the Fund

- 2.7. Table 1 below shows the total number of Contracting Governments eligible to apply for voluntary assistance funding (Correct to 20/7/2018):

¹ Specifically for participation at Commission Meetings.

² This is an estimate based on the exchange rate on the date the pledge was received (09/04/2018), also specifically for participation in Commission meetings.

Table 1: Eligibility to apply for funds

| | Total | Not eligible due to arrears | Not eligible due to OECD / EU status | Eligible to apply |
|--------------|--------------|-----------------------------|--------------------------------------|-------------------|
| Group 1 | 26 | 17 | 0 | 9 |
| Group 2 | 31 | 11 | 7 | 13 |
| Total | 57 | 28 | 7 | 22 |

2.8. To date, 18 Contracting Governments have submitted at least 1 application to the fund.

Table 2: Applications Received for Commission & Sub-Committee Events:

| | 2017 Scientific Committee | 2018 Scientific Committee | 2018 Commission Meeting |
|---|---------------------------|---------------------------|-------------------------|
| Total applications | 6 | 4 | 14 |
| Applications rejected: | | | |
| Applicant missed the deadline set out in the Resolution & Circular | 0 | 1 | 5 |
| Applicant missed the deadline and was in arrears of contributions | 1 | 0 | 2 |
| Applicant from a country in arrears of contributions and not an accredited delegate | 0 | 0 | 2 |
| Total ineligible applications | 1 | 1 | 9 |
| TOTAL APPLICATIONS GRANTED | 5 | 3 | 5 |

2.9. Two Contracting Governments have received funding to attend two events and one Contracting Government has received funding to attend all three events.

2.10. A substantial number of applications (36%) were received beyond the deadline set out in the Resolution and associated Circulars, suggesting there is a lack of awareness of the process for applying for funds. The Secretariat wrote to each applicant who missed the deadline to confirm the procedure, which will hopefully reduce further occurrences.

2.11. As the number of requests for funding that meet the application criteria has been small, there were sufficient funds available to support each eligible application. However, if the total number of eligible Contracting Governments had applied, funds would not have been sufficient to cover travel and prioritisation criteria would need to have been applied.

Administration

2.12. Some delegates awarded funding to attend the 2017 Scientific Committee meeting were unaware that subsistence would be paid following, rather than in advance of their travel, although this was clearly flagged at the application stage and also in the Resolution. Whilst this could cause understandable difficulties for some individuals, this issue must be weighed against appropriate financial control mechanisms, including those laid out in the Rules of Procedure.³ To issue cash in advance would be against generally accepted accounting

³ Financial Regulations 4 and 5.

practice. The Secretariat minimises cost outlays for delegates by paying for all accommodation and flights directly so subsistence is the only element of the funding that the delegate receives after the meeting. In venues where all meals are provided, such as the IWC 67 venue, this will not be an issue. To increase inclusiveness, there is the potential for the Secretariat to pay for delegate attendance at the SC dinner/similar events and then reduce the subsistence amount paid by the cost of the meal if this is something delegates would find helpful.

2.13. The Secretariat endeavours to reimburse delegates funded from the Voluntary Fund as soon as possible after the meeting. However, in one case the Commission's banker was unable to process a payment for several weeks due to issues with their international banking service. This is clearly unacceptable and assurances were sought from the bank's relationship manager. Since then there have been no further issues of this nature.

2.14. The Resolution states that

'Applications for travel to a meeting or event shall include a budget based on the lesser of the amount provided for in the International Civil Service Commission's Daily Subsistence Allowance and UN travel rules, or the amount provided for in the domestic rules of the eligible Groups 1 and 2 Governments'

These rates have proved to be substantially higher than the amounts needed to fully cover the costs of attending a meeting. Therefore, the same rate used for Secretariat staff and Scientific Committee Invited Participants was used for the reimbursement rate in 2017 and 2018 to ensure best use of funds, and as allowed for in the Resolution.⁴ The rate received by staff and SC participants in Slovenia was £50 per person per night which was an appropriate amount to cover food and incidental expenses. The equivalent UN rate for Slovenia would have been c.£123 per person per night. The Commission may wish to consider formally bringing the rates awarded to funded delegates to be in line with those awarded to staff and Scientific Committee participants to ensure equal treatment of all delegates.

2.15. The Resolution includes eligibility criteria that state Governments are only eligible for funding if they are 'not in arrears' of contributions. However, this is not clearly defined. There is a possibility that a Government who applies successfully could potentially become "in arrears" (therefore also potentially losing their vote) in between funding being awarded and the meeting taking place, depending on the timing of meetings. Also, for example, on 1st July 2018, any Contracting Governments who have not yet paid 2018 contributions will be in arrears, however, their vote will not be suspended until the day before the plenary session of the Commission. Clarity is sought on this issue.

Meeting Experience

2.16. It was noted that at the 2017 Scientific Committee meeting, some delegates did not attend all of the sessions that they were funded to attend. It is difficult to know the reasons for this, but consideration could be given to improving the level of support available to delegates at such meetings, to ensure that they are fully briefed on how the meeting works and how they can fully participate. With this in mind, a system was trialled at the 2018 Scientific Committee to ensure that all delegates:

⁴ Appendix 4, Financial Regulations.

- ✓ Were welcomed to the meeting by the Executive Secretary who gave them a brief introduction to the meeting.
- ✓ Received the appropriate information to assist them in navigating the meeting e.g. the SC Handbook, acronym guide, list of participants etc.
- ✓ Were signposted to the 'SC 101' presentation that takes place on the first day of plenary to introduce how the meeting works
- ✓ Were given an SC 'mentor' – someone who has been to such meetings before and can offer guidance and support. Where possible, funded delegates will be assigned a mentor with shared language skills and interests. The Secretariat received feedback that delegates had found mentoring useful and that the mentors had also found it to be a positive experience.

Suggestions for Improvements

2.17. To address the issues raised in this section, consideration could be given to:

- ✓ Whether further publicity around the fund, eligibility criteria and timelines would increase interest, as well as whether translation of such information into French and Spanish would increase accessibility.
- ✓ Changing the fund rules to confirm that subsistence rates in line with those received by IWC staff and other delegates are used to ensure value for money.
- ✓ Clarifying the position on the potential for delegates to receive funding and subsequently lose their vote as well as what is meant by 'in arrears' to ensure consistency and avoid the potential for challenges to funding decisions.
- ✓ Monitor the success of the 'mentoring' system for funded delegates and gather feedback from delegates to further inform policies in relation to wider developing country participation.

3. Review of Wider Opportunities for Developing Country Participation

- 3.1. Resolution 2016-6 introduced a funding mechanism to support developing country participation in the work of the Commission. This section seeks to consider how participation can be encouraged in a broader sense, rather than just meeting attendance. This section will consider possible barriers to participation, existing opportunities outside of the Voluntary Assistance Fund and current best practice, along with suggestions as to additional ways that developing country participation could be strengthened.
- 3.2. Two documents were key to informing this paper, specifically the background information provided to the Working Group on Providing Options to Governments of Limited Means to Participate in the Commission's Work and an MPhil thesis *Capacity Building Needs for the Conservation & Sustainable Management of Cetaceans*, produced by a student hosted at the Secretariat for this project.

Benefits of participation for developing countries

- 3.3. There are numerous benefits that Governments of Limited Means would receive from being able to participate more fully in Commission business, including:
- ✓ The opportunity to ensure the views and experiences of their country are fully represented on the key issues affecting them
 - ✓ Developing the skills of Commissioners, scientists and experts

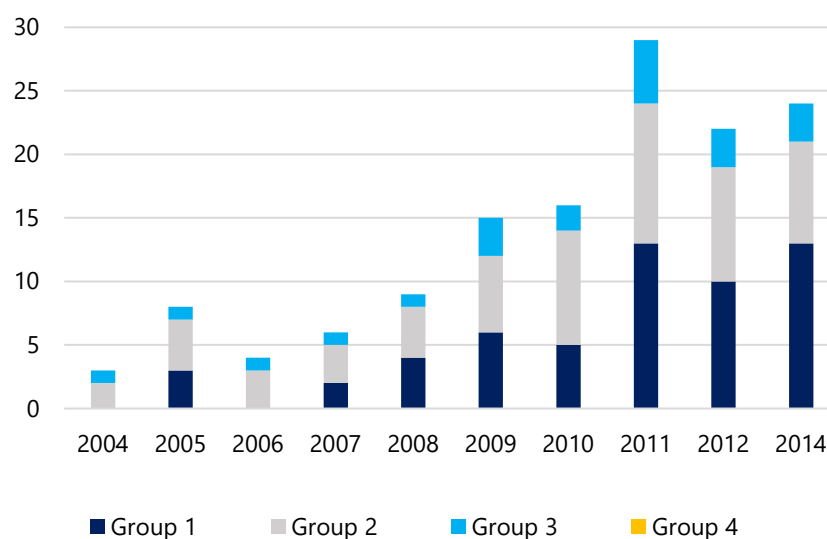
- ✓ Increased awareness of the IWC's work in a domestic context
- ✓ Opportunities to meet and discuss key issues with other like-minded Governments and for networking
- ✓ Many issues on the IWC agenda affect Group 1 and 2 countries more acutely – e.g. bycatch, so it is imperative that they are involved in these discussions.
- ✓ Creates opportunities for IWC cooperation with other bodies and organisations
- ✓ Hosting can showcase what a country has to offer and encourage tourism

Barriers to Participation & Solutions

3.4. In order to expand developing country participation in Commission business, there needs to be analysis of barriers to participation. Such barriers could include:

- ✗ **Financial situation** – Governments of Limited Means often do not have the available funds to cover staff travel and accommodation for Commission business. Whilst voluntary funds are available through the voluntary assistance fund, they are not sufficient to ensure the participation of all Governments who are eligible for funding in all meetings. Over the period 2004-2014, Group 1 and Group 2 Contracting Governments made up the majority of countries who did not attend the Commission meeting.

Table 1: Number of Contracting Governments that did NOT attend Commission Meetings 2004-2014⁵



- ✗ **Language barriers** – Whilst there are 3 working languages of the Commission (English, French and Spanish) in practice, only the Commission meeting provides interpretation and the translation of (some) key documents. The business of the Scientific Committee, working groups and intersessional correspondence all takes place in English, making participation very difficult if participants don't have adequate English language skills.
- ✗ **Countries with substantial arrears that can't vote** – these are Governments of Limited Means who are not eligible to vote or access funding because of their arrears.

⁵ 'Discussion paper on providing options to support Governments of Limited Means to participate in the Commission's work' (2016) p. 3. Working Group on Providing Options to Governments with Limited Means to Participate in the Commission's Work.

- × **Time** – As well as financial resources, human resources may be scarce, meaning that Contracting Government staff time cannot be made available to fully participate in Commission business.
- × **Inaccessibility** – Commission and sub-Committee schedules and agendas can be difficult to navigate. Potentially, a guidance document in the 3 working languages of the Commission could alleviate this, although there would be an associated cost to this. Also, assigning a ‘mentor’ with experience to funded delegates could provide support, and more details of a trial of this is given in section 2.16.
- × **Scientific capacity not as well developed** – invites to participate in the Scientific Committee as a scientist are predicated on scientific expertise in set areas. However, there are not currently many opportunities for less experienced scientists to attend the SC and, at the same time to develop their knowledge and skills in order that they might be able to contribute in the future. Often these individuals could bring alternative experience from other fields, along with experience in and data from their countries, which may be complementary to the SC agenda if not necessarily leading scientific thought.
- × **Lack of development opportunities** – currently there is a general lack of opportunities for new IWC participants to develop their skills, whether they be Commissioners, scientists or other experts.
- × **Highly technical/niche subject areas** – sometimes elements of Commission activities are inherently technical which creates a barrier to participation, however, consideration needs to be given to ‘business continuity’ to ensure that technical business can be continued into the future by investing time in developing new talent and ensuring that existing knowledge is not lost.
- × **‘Closed’ or ‘Exclusive’ groups** – The perception that some groups potentially being a ‘closed club’ may be a barrier to participation.⁶ Some delegates could find joining a new group to be daunting.
- × **Lack of knowledge of available options** – Whilst there are a number of opportunities to get involved with Commission business (often at no cost to Contracting Governments) there could be a lack of awareness that these options are available or how to access them.

3.5. These are assumptions and further work could be done to establish the reasons for reduced participation.

3.6. Section 3.44 provides some general suggestions as to how these barriers can be overcome.

Options Supporting Governments of Limited Means to Participate

3.7. This section outlines the potential areas for new or increased engagement with developing country Members

Hosting

3.8. One way in which Governments of Limited Means can participate is to offer to host various Commission meetings and/or workshops.

3.9. There are different ‘levels’ of meetings which take place throughout the biennium which can be categorised by the level of time and investment required by each.

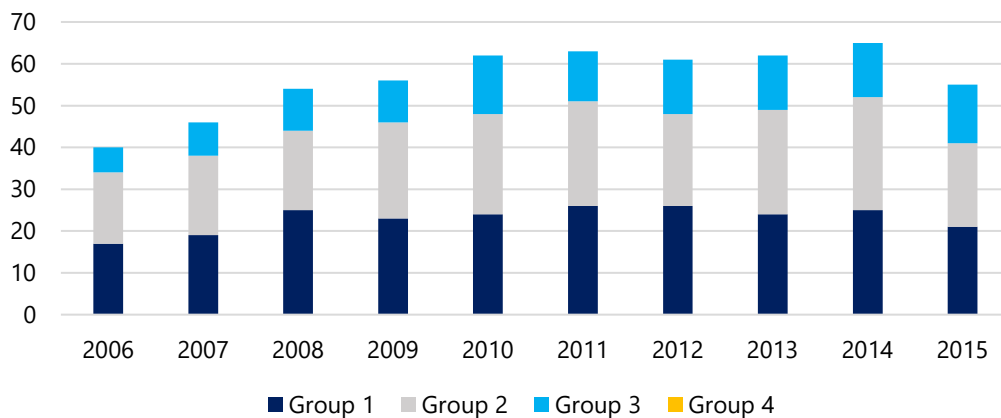
⁶ J. Gustafson (2016) ‘Capacity Building Needs for the Conservation and Sustainable Management of Cetaceans, p. 35. MPhil thesis University of Cambridge Conservation Leadership programme. Copies of this thesis are available on request.

- 3.10. Hosting meetings can be challenging and requires commitment from the host country, however the Secretariat is there to provide guidance and support. In some cases, there is now comprehensive written guidance to help host countries to organise meetings.
- 3.11. **Workshops (less time/funds required)** – Governments of Limited Means can participate by hosting workshops funded either by the Scientific Committee or through voluntary funds. These workshops require some organisational commitment but will be more straightforward than the organisation of a large Commission meeting. Funding is often available to cover the costs of the meeting, however, expression of interest in holding such workshops needs to come at an early stage as a costed workplan will need to be developed by the relevant group for approval and this will need to include a location. Consideration should be given to how hosting of workshops by developing countries could be further encouraged.
- 3.12. Voluntary funds could also be sought to cover the costs of hosting a workshop in a developing country, for example, the UK, New Zealand and South Africa provided voluntary funding to support a welfare workshop hosted by South Africa in 2016.
- 3.13. Hosting a workshop could provide useful experience for any country who might, in the future consider organising a larger meeting such as the SC or Commission.
- 3.14. **Scientific Committee Meeting** – this is a meeting of c.200 Government delegates, scientists and experts that occurs annually, usually in May or June. The new Meetings Handbook will provide guidance to all potential hosts on the timescales and level of human and financial resource that is required to host this meeting.
- 3.15. If agreed by the Commission, the 2019 budget will include full funding to host a meeting in the reference location of the FAO in Rome. These funds could be used to support a meeting in a developing country, however any excess costs would need to be funded by the host. Potentially, voluntary funds could be sought to cover any deficit however, these would need to be available well in advance of the meeting to allow for hotel bookings etc. to be confirmed.
- 3.16. For any developing country interested in hosting the meeting, the Secretariat would be able to provide an estimate of the costs based on the suggested location and an estimate of the deficit (if any) to be covered. If done sufficiently ahead of time, this would allow potential host countries to secure funds through their respective budget processes, or to seek external funding.
- 3.17. Hosting a Scientific Committee meeting would allow opportunities for local scientists and experts to gain the experience of participating in a global meeting of experts covering diverse subject areas.
- 3.18. **Commission Meetings** – this is a biennial meeting of c.400 delegates from across 88 Member Governments and is the most high-profile event in the Commission's calendar. Consequently, it requires a high level of time commitment in addition to funding for any costs over and above the available budget as outlined in section 3.15.
- 3.19. Hosting a smaller workshop and/or a Scientific Committee first would allow a country to gain the understanding of the logistics of IWC events to ensure the smooth running of a Commission meeting should they offer to host.
- 3.20. The Commission meeting is again an opportunity for the participation of locally-based Government officials and NGOs as well as international media coverage and an opportunity to promote tourism.
- 3.21. Potentially, if resources allowed, the Secretariat could explore the possibility of securing additional external funding to support the costs of hosting.

Scientific and other Expert Activities

- 3.22. **Attending Meetings** - the Scientific Committee offers two opportunities for participation – as a national delegate or as a scientist. National delegates can apply to be funded through the Voluntary Assistance Fund and scientists can apply to be an ‘invited participant’ from the core Research Fund. Attendance at Conservation Committee and other commission subgroups can also be funded by the Voluntary Assistance Fund.
- 3.23. However, take-up of the Voluntary Assistance Fund has not been significant and there relatively few invited participants to the SC from Group 1 and 2 countries (see Section 2 above). Between 2006-2015, the overwhelming majority of Contracting Governments who did not attend the Scientific Committee meeting were Group 1 and 2 countries as in Table 2 below:

Table 2: Number of Contracting Governments that did NOT attend Scientific Committee meetings, 2006-2015⁷



- 3.24. As with Voluntary Assistance Funds, the invited participant budget is finite so again not all Group 1 or 2 countries could be granted funding.
- 3.25. Furthermore, to be eligible for funding to attend the scientific committee, scientists must demonstrate that they are ‘suitably qualified’. This criterion is of course important to ensure that the Scientific Committee can offer the best advice to the Commission as possible but means that it can be difficult for developing country scientists to gain entry. The SC meeting is a good forum for ‘up and coming’ scientists of all nationalities to acquire the skills which could develop them in to future leaders in the field and consideration should be given as to how this type of participation could be achieved. This would also allow the SC to benefit from the fresh ideas of new individuals who might bring other useful knowledge to the table.
- 3.26. Developing country knowledge could be proactively sought, particularly where developing country Governments could offer insights where data are sparse or missing (e.g. freshwater dolphins in Cambodia, Latin America etc.)
- 3.27. Publicising the details of how to apply for funding could help to ensure that no opportunities for are missed.
- 3.28. **Intersessional Participation** - as well as attending the meeting, there is the option of convening or joining an intersessional group. A lot of work is undertaken intersessionally so participation could be at relatively low cost via email, although knowledge of the subject matter

⁷ Discussion paper on providing options to support Governments of Limited Means to participate in the Commission’s work’ (2016) p. 3. Working Group on Providing Options to Governments with Limited Means to Participate in the Commission’s Work.

would be essential. Joining a group can be the 'stepping stone' to convening a group or becoming more involved in Commission business.

- 3.29. **To encourage engagement with technical intersessional groups** - Group 1 & 2 countries could be asked to monitor developments in technical areas of interest and to follow the workplan and agendas for upcoming events. Again, translation of sub-group agendas may allow for a better understanding of timelines but there is currently no budget available for this.
- 3.30. **Reporting** - An issue by no means unique to developing countries is the issue of Governments not submitting National Progress Reports and Voluntary Conservation Reports. There could be a number of reasons for this – for example, there may be no data or research to report (e.g. a country may know that there is bycatch but not have any statistics). Other countries may not see it as an urgent priority or may not understand reporting requirements. Though online reporting (e.g. for National Progress Reports) can make the process of data submission more straightforward, countries may still lack understanding of how to submit data or encounter technical issues. Further consideration could be given to how reporting by Group 1 and 2 (as well as other countries) could be improved.
- 3.31. **Developing Talent** - One way to develop talent within the Scientific and Conservation Committees would be to establish a mentoring program whereby experienced scientists/experts share their knowledge and experience with developing country peers. In-person attendance is not essential for this, as mentoring sessions could occur online or via telephone, however for it to be successful it would require experienced scientists and experts to be able to volunteer their time. This could be an idea generally beneficial to early-career scientists, but in the first instance could be targeted to eligible countries in Group 1 and Group 2.
- 3.32. **Internships and/or partnerships** - with Universities could be considered as a possible tool for capacity building in the future, however this would require substantial additional funding and staff time to support any placements.
- 3.33. **Remote participation** - is sometimes a possibility for key individuals who are unable to travel to the meeting. This could potentially be expanded to allow scientists from Group 1 and 2 countries (and others) to follow proceedings, gaining an understanding of how the Commission's sub-groups work and learn from the scientists and experts who are participating 'on the ground'.

Commission Level

- 3.34. Participation at the Commission level is essential in order that the views of all Contracting Governments are fully represented.
- 3.35. The Commission's plenary meeting was streamed live on YouTube in 2016 and is also available to watch as a recording. Whilst Governments cannot actively participate or vote unless they are present at the meeting, the YouTube feed could be utilised to allow a broader range of individuals from developing countries to follow the proceedings of the meeting. For example, whilst the Commissioner will represent their Contracting Government on the floor of the meeting, colleagues in departments for fisheries/environment, scientists, local NGOs and local news media could be encouraged to follow the proceedings of the meeting online and free of charge. Increased awareness of Commission business could lead to wider participation at a later date.
- 3.36. Just as the Scientific Committee has a 'handbook', it may be useful to produce a similar document which could support developing countries (and any NGOs) in navigating the meeting. A similar document is being produced for the Conservation Committee.

- 3.37. There are also options for developing countries to participate in intersessional work, for example by joining Intersessional Correspondence Groups – for example the Intersessional Correspondence Group on Strengthening Finance, or the Operational Effectiveness Working Group. The majority of work undertaken by these groups is via email and does not require a financial commitment. Correspondence groups are listed on the IWC website along with details of how to join.
- 3.38. Committees provide the opportunity for participation at the strategic level, e.g. Finance & Administration Committee, Conservation Committee etc. Often these groups have vacancies for new members and for Chairs and Vice-Chairs, which if a Contracting Government could commit the time would provide an excellent opportunity to participate in a leadership role.
- 3.39. The Bureau Terms of Reference requires a balanced geographical and socio-economic representation as well as representation of different viewpoints. Membership of the group rotates and when posts become vacant, this provides an opportunity not only to participate but to represent other nations in a high-level forum.

Outreach

- 3.40. Many Commissioners represent their country in other organisations with work plans that are complementary to the IWC. Where Commissioners (developing country or otherwise) represent their country in other fora, this could be used as an opportunity to raise awareness of IWC, to find synergies between the work programmes of other organisations and to encourage inter-organisational cooperation. It is also an excellent opportunity to showcase the work of the IWC to non-member countries who may not be aware of the breadth of the Commission's work programme.
- 3.41. All Commissioners could be encouraged to raise awareness of the IWC within their regional and domestic networks and to disseminate knowledge, also reporting back to IWC on developments in their region. Such regional networks offer opportunities for capacity building and an exchange of knowledge and experience. Issues such as bycatch, strandings and ghost gear are some of the areas where the cooperation of the IWC and other organisations could be mutually beneficial.
- 3.42. Opportunities could also be explored for Governments of Limited Means to access training and participation funding from other organisations that have resources for capacity building.
- 3.43. The IWC could work with other intergovernmental and similar organisations that support developing country participation in order to share best practice. For example, the CITES convention has a 'virtual college' online learning facility which is used to increase capacity. Organisations such as the UN Environment Programme have also published reports on developing the capacity of governments of limited means.

General Measures to Increase Participation

- 3.44. To increase participation, and to specifically address some of the barriers to participation outlined in section 3.2, there are a number of cross-cutting actions that could be considered.
- 3.45. **Centralise information on participation opportunities** – currently information on different participation opportunities is not held in one place. A webpage containing information on all available opportunities for participation, vacant posts on groups, opportunities for hosting meetings and funding opportunities could be brought together in one single location. Once in place, this could be periodically publicised via circular communication and on the floor of key meetings. A centralised source of information on Commission participation could also be useful for Governments considering joining the convention.

- 3.46. **Additional provision of interpretation and translation services** – this could increase participation but would have associated cost and logistical implications. As a more practical first step, a limited number of documents (e.g. agendas) could be made available in the three working languages of the Commission. In addition, the Commission could consider allowing submission of background documents (including National Reports) in one of the 3 working languages.
- 3.47. **Record participation statistics across Commission activities** – this would allow the Commission and its sub-Committees to identify areas where developing country participation could be improved and resources could be targeted to key areas where such Governments are underrepresented. Specific, measurable, achievable, relevant and time-bound (SMART) goals could be set to monitor progress and some examples of such indicators are given in Annex B.⁸
- 3.48. **Active Contracting Governments to encourage broader participation** – all Contracting Governments who are active in Commission business could actively encourage developing country participation, promoting the benefits of IWC membership and opportunities for participation.
- 3.49. **Create opportunities for mentoring and 'shadowing'** – it is recognised that the Commission has a wealth of talent both in government and scientists/experts delegates. Such experts could be encouraged to provide support and guidance to those interested in becoming an active participant in IWC meetings. This would require individuals to offer their time to support interested parties.
- 3.50. Annex C to this report details other existing opportunities for taking part in Commission business, along with some case studies of where the increased participation of Governments of Limited Means has been successfully achieved.

4. Way Forward & Measuring Success

4.1.1. To summarise, the participation of Governments of Limited Means in Commission business can be promoted and expanded by:

- ✓ **Surveying** Group 1 & 2 Countries to identify barriers to participation, areas of interest and activities that they would prioritise for participation. Participants receiving support from the voluntary assistance fund could be surveyed to find out about their experience of the meeting.
- ✓ **Assessing** needs and undertake a 'gap analysis' to see where key areas of underrepresentation are.
- ✓ **Publishing** centralised information on opportunities for funding and participation including timelines.
- ✓ **Publicising** opportunities to take part either in person or remotely. Publicise all funding options, not just those available via the voluntary assistance fund.
- ✓ **Encouraging** participation proactively rather than waiting for requests.
- ✓ **Developing** the skills of Commissioners, scientists and other experts
- ✓ **Achieving buy-in** – from the Commission and its subcommittees to make the initiative a success.
- ✓ **Signposting** enquiries relating to participation to the correct information
- ✓ **Collaborating** with other Secretariats to share best practice in developing country participation, particularly where there are synergies in the work programme.

⁸ J. Gustafson (2016) 'Capacity Building Needs for the Conservation and Sustainable Management of Cetaceans, p. 19. MPhil thesis University of Cambridge Conservation Leadership programme.

- ✓ **Monitoring** actual participation levels, enquiries & requests to participate against specific, measurable, achievable, relevant and time-bound (SMART) performance indicators (Annex B).

5. Recommendations

5.1. The Finance & Administration Committee is asked to:

- 5.1.1. Note the utilisation of Voluntary Assistance funds to increase developing country participation to date
- 5.1.2. Note issues arising to date and endorse the recommended solutions
- 5.1.3. Clarify the interpretation of 'in arrears' for future funding requests
- 5.1.4. Instruct the Secretariat to work with the Commission and its subgroups to explore and implement the options for increasing developing country participation as outlined in section 6 of this document, noting the limited availability of staff time. A full report of progress will be presented to the next Commission meeting.

ANNEX A – Detailed analysis of the Voluntary Assistance Fund and participation to date (correct at 24/7/2018)

| All figures in GBP | Event | | | Total | Notes |
|---|----------------------------------|--------------------------|--------------------------------|-----------------|---|
| | Commission Meeting Participation | SC Meeting Participation | Unallocated to specific events | | |
| Closing Balance 31/12/2016 | - | - | 23,288 | 23,288 | Initial capital from the 'Future of the IWC' process |
| <u>Income</u> | | | | | |
| Voluntary Contributions - Govt of France | 8,596 | - | - | 8,596 | EUR 10,000 set aside for Commission participation. |
| Voluntary Contributions - Govt of the USA | - | - | 18,471 | 18,471 | USD 25,000 |
| <u>Expenditure</u> | | | | | |
| Funding Participation in SC67A Bled | - | (16,836) | - | (16,836) | Cost of 5 funded delegates to SC67A. |
| Bank Charges / Interest Income | - | - | 73 | 73 | |
| Balance at 31/12/2017 | 8,596 | (16,836) | 41,832 | 33,592 | |
| Allocation of funds | - | 16,836 | (16,836) | - | Allocation of Voluntary Funds for SC67a participation |
| <u>Income</u> | | | | | |
| Voluntary Contributions - Govt of Netherlands | 8,555 | - | - | 8,555 | EUR 10,000 set aside for Commission participation. |
| <u>Expenditure</u> | | | | | |
| Funding Participation in SC67B Bled | - | - | (10,237) | (10,237) | Cost of 3 funded delegates to SC67B. |
| Committed funds – Participation at IWC 67 | (17,000) | - | (2,000) | (19,000) | Total £19k estimate to support up to 5 Contracting Governments to attend. Some applicants are yet to confirm participation. |
| Uncommitted Balance at 31/12/2018 | 151 | - | 12,759 | 12,910 | |

ANNEX B – Existing Opportunities for Participation & Case Studies

a) Other Funding Currently Available & Existing Capacity Building Initiatives

- a. Aside from the Voluntary Assistance Fund, there are potential other funds that can be accessed by developing countries. Whilst increasing awareness of these funds is important, the criteria for allocation should also be considered to ensure that activities can be as inclusive as possible.
- b. **Bureau budget** – there are some funds available to cover Group 1 & 2 participation in the Bureau. The budget is based on the costs of 2 Secretariat plus 2 others being funded from this budget but there are no established rules for how such funds are to be allocated.
- c. **SC IPs & Expert Workshops** – this is available for scientists regardless of nationality. Whilst scientists can apply to participate, in practice convenors submit proposals for invited participants to the Chair so new participants need to be proactive to participate.
- d. **Small Cetaceans Fund** – the Voluntary Fund for Small Cetacean Conservation & Research was established in 1994 in order to specifically ‘allow for the participation from developing countries in future small cetacean work’.
- e. **Other Voluntary Funds** – funding on a case by case basis for hosting/participating in specific Commission events. For example, 4 funded participants at the ASW Working Group Meeting in Barrow, Alaska in April 2018 were from Governments meeting the criteria for funding under resolution 2016-6. There is scope for all of these funds to hold workshops in or invite participants from developing countries and consideration should be given to how this could be encouraged

b) Case Studies in Developing Country Participation in IWC Business

- a. **Entanglement Response**
- b. Whale entanglement is a growing problem, which kills an estimated 308,000 animals per year. It also presents serious safety issues for those involved in disentangling the whales. The IWC is working with a group of international experts to build a global network of professionally trained and equipped entanglement responders.
- c. The IWC’s Entanglement Response programme is a good example of how capacity-building can be successfully implemented within the IWC community.
- d. Of the 21 IWC entanglement response workshops that occurred between 2012-2015, 19 (approximately 91%) have been held in developing countries. 6 of 12 (50%) of Invited Overview Seminars have been in developing countries.⁹
- e. It is a truly cross-cutting initiative with Governments and local NGOs getting involved and there is a wealth of best practice that could inform other capacity-building initiatives.
- f. **Bycatch Mitigation Initiative**
- g. The Bycatch Mitigation Initiative (BMI) is also currently considering developing a capacity building programme, working with fisheries managers, researchers and the fishing industry across a range of relevant work areas. This is likely to include working to test and adapt existing mitigation measures alongside fishermen in small scale fisheries and developing countries, and work to strengthen monitoring programmes of bycatch and the capacity of fisheries managers to bring about improved enforcement and compliance.
- h. Another opportunity will include looking at testing potential incentives for the fishing industry to use mitigation - particularly relevant in fisheries operating in developing countries. The BMI will likely begin by choosing pilot studies in key countries, but with the intention of being able to provide technical advice upon request of different governments.

⁹ J. Gustafson (2016) ‘Capacity Building Needs for the Conservation and Sustainable Management of Cetaceans, p. 24. MPhil thesis University of Cambridge Conservation Leadership programme. Copies of this thesis are available on request.

ANNEX C – Potential Indicators for Monitoring the Participation of Developing Countries in IWC Business

In order to be able to measure the success of any initiatives to increase developing country participation, and in order to identify 'gaps' in participation, a number of objective performance indicators could be considered for use.

Any performance indicators should be SMART - **S**pecific
Measurable
Achievable
Realistic
Time – Bound

Such indicators could include the following:

Attendance

- ✓ Number of developing countries attending the Commission meeting Higher numbers are desired ↑
- ✓ Number of developing countries attending the SC meeting (Government) Higher numbers are desired ↑
- ✓ Number of developing country 'invited participants' to the SC Higher numbers are desired ↑
- ✓
- ✓ Number of developing country participants at other meetings and workshops Higher numbers are desired ↑

Finances

- ✓ Number of developing countries subject to Rule F5¹⁰ Lower numbers are desired ↓
- ✓ Number of developing countries in arrears of contributions Lower numbers are desired ↓

Leadership

- ✓ Number of developing country representatives in leadership positions (Chairs, vice-chairs, convenors etc.) Higher numbers are desired ↑

Participation

- ✓ Number of developing country representatives on committees/groups (e.g. intersessional correspondence groups, subcommittee memberships etc.) Higher numbers are desired ↑
- ✓ Scientific/voluntary-funded projects held in developing countries Higher numbers are desired ↑
- ✓ Scientific/voluntary-funded project funding awarded to developing country scientists/experts. Higher numbers are desired ↑
- ✓ Number of developing country participants at workshops Higher numbers are desired ↑

This list is not designed to be exhaustive, just to provide an indication of how improvements to developing country participation could be monitored and how 'gaps' in participation could be identified.

¹⁰ Financial Regulation F5 applies to contracting Governments with 3 years of arrears or more.