

## **Progress Report on the Implementation of IWC Recommendations on Strengthening IWC Financing**

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

### **The Commission is requested:**

- *note the progress made by the Intersessional Correspondence Group on Strengthening IWC Financing (ICG-SF)*
- *endorse the next steps outlined in sections 1.1 to 1.4.*
- *adopt the Code for Ethical Fundraising, and review by IWC68 (IWC/67/FA/14)*
- *adopt the revised terms of reference for the ICG-SF (Annex 4)*
- *adopt the future workplan of the ICG-SF (Annex 5)*

### **Background**

The Intersessional Correspondence Group on Strengthening IWC Financing (ICG-SF) was established at IWC62 in 2010 and reports to the Finance and Administration Committee. 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. These recommendations were endorsed at IWC65 in 2014. In the intersessional period towards IWC66 many of these recommendations were implemented and, at IWC66 in 2016 a progress report and an updated work plan were presented to the Commission. In October 2016, the Commission endorsed the ICG-SF's progress report and its work plan for the intersessional period (IWC/66/F&A08).

The current group members comprise Australia, Belgium, Costa Rica, Ecuador, France, Germany, Mexico, Monaco, United Kingdom, United States of America. The Chair is Stephanie Langerock (Belgium). Environmental Investigation Agency and Natural Resources Defense Council have joined the group as observers. The group remains open for new members.

### **Governance arrangements**

As noted above, the Intersessional Correspondence Group on Strengthening IWC Financing (ICG-SF) reports to the Finance and Administration Committee. The Steering Group for the Voluntary Conservation Fund (SG-VCF) was established in January 2017 (see section 1) and it also reports directly to the Finance and Administration Committee. Both groups operate independently, with separate officers, membership and terms of reference.

#### **1. Current work plan**

The IWC has made significant progress in the implementation of the recommendations of the ICG-SF. The ICG-SF has completed virtually all actions taken up in the workplan approved by IWC66. Annex 1 gives an overview of the state-of-play of the current workplan, including the activities that might continue in the future workplan of the group.

The main activities undertaken to implement the workplan are summarised here below and the proposed next steps are outlined.

##### **1.1. Establishment of the Steering Group for the Voluntary Conservation Fund**

During IWC65, the IWC adopted the Terms of Reference for the Voluntary Conservation Fund Steering Group. 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>. The Steering Group for the Voluntary Conservation Fund (SG-VCF) was established in January 2017. The group is currently chaired by Catherine Bell (UK) and is still open for membership. An overview of its current membership and a report of its activities can be found in document IWC/67/FA/04.

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<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.

## 1.2. Budgeted Work Plans

The ICG-SF was tasked to develop budgeted work plans including a list of projects that require external funding and, in addition, to develop project templates and outline standard costs, to support the development of project proposals.

When reporting to the Conservation Committee at IWC67 in 2018, the Chairs of the Standing Working Groups have been invited to identify the resource requirements for their recommendations including whether implementing the recommendation would incur:

- No additional cost e.g. can be undertaken on a voluntary basis by Governments
- Core Secretariat time is available i.e. no additional funds needed
- Additional external funds e.g. Voluntary Conservation Fund, funds from IWC Contracting Governments or funds from external sources (costings provided in project template – see Annex 2)

Where additional external funds are needed, Working Groups are requested to provide additional details on the tasks or projects which will assist the Steering Group for the Voluntary Conservation Fund in allocating funding and/or the Secretariat in efforts to fund raise from donors.

To assist the chairs of the Conservation Committee Working Groups the ICG-SF has prepared a project template for recommendations that would require additional funding. Following IWC66, a template (Annex 2) was developed by the ICG-SF and circulated by email by the Chair of the ICF-SF in 2017 and again in the first half of 2018.

In addition, the Secretariat is ready to support this process through the development of guidance on standard costs e.g. calculating the cost of core secretariat time, external salary costs, subsistence rates etc.

### Next steps:

- *All Standing Working Groups are invited to insert an action on the use of costed work plans and projects in their reports and future workplans.*
- *Once a list of costed work plans and/or projects has been compiled and endorsed at IWC67, Working Groups supported by the Secretariat, can start to prepare funding proposals and submit grant applications to support activities recommended by the Commission and/or make applications to the Voluntary Conservation Fund.*
- *The ICG-SF will provide advice on any recommendations of the governance review that relate to external fund raising and associated projects, including the enabling conditions for fund raising e.g. budgets and costed work plans.*

## 1.3. Funding opportunities

The ICG-SF agreed that the Secretariat would undertake an ongoing review of available funding streams that could potentially be accessed to support the implementation of the Commission's recommendations. In addition, the ICG-SF was tasked with reviewing opportunities to engage with Trust Funds/Foundations and their relevance to the IWC work programme, including outreach where appropriate.

The Secretariat has compiled an initial list of external funding opportunities (Annex 3) and they will continue to work with the Conservation Committee and its Standing Working Groups to identify additional funders, improve geographic coverage, etc. Contracting Governments, IGOs and NGOs are invited to send any additional funding sources they might know of to the Secretariat for inclusion in this list. Once proposed costed work plans and/or projects have been endorsed by Commission, this list of funders can be used by Standing Working Groups, in collaboration with the Secretariat, to seek funding to implement these.

A wide variety of Trust Funds have been identified, many of which may be relevant to the work of the IWC. This suggests that there may be opportunities to seek funds from these organisations and it is proposed that Trust Funds/Foundations be included in the list of potential funders that are considered for funding applications and outreach as appropriate.

In addition, it may be useful to explore whether financial support from industry may provide opportunity to fund some of the work of the IWC. Any action taken in this regard will be underpinned by the Code for Ethical Fund Raising (Section 1.4) to ensure appropriate safeguards were in place.

Next steps:

- *The Secretariat will collate information on funders received so it can be used by the Standing Working Groups and Conservation Committee needing funds in the future.*
- *Trust funds and industry sources to be included as potential funders and, if appropriate, approached for funding during the intersessional period, in collaboration with the relevant Working Groups and taking into account the Code for Ethical Fund Raising.*

1.4. Code for Ethical Fundraising

A draft Code for Ethical Fundraising (see document IWC/67/FA/14) has been developed in order to guarantee appropriate safeguards as well as full transparency of all fundraising activities. Once endorsed by the Commission, the ICG-SF proposes to use this code in the intersessional period and to review it at IWC68.

Next steps:

- *Apply the Code for Ethical Fund Raising, review in the intersessional period and bring any proposed revisions to IWC68.*

**2. Voluntary Conservation Fund**

The Voluntary Conservation Fund was established in 2014. The ICG-SF's workplan includes a number of actions that are related to the management and the disbursement of the Voluntary Conservation Fund by the VCF Steering Group and are reported in document IWC/67/FA/04.

During the last intersessional period the fund has benefited from several donations. As at 31 August 2018, the balance of the Voluntary Conservation Fund is £159,612 (Table 1). Over the intersessional period, work has progressed on bycatch, the Whale Watching Handbook and the database of recommendations using donations from the Voluntary Conservation Fund.

Since the IWC 66 meeting, the Government of France contributed £31,812 in November 2016 to support bycatch mitigation. In 2017, an additional, £100,000 was contributed by the UK which remains to be allocated to a particular work stream. In July 2018, the fund received £21,439 from the Government of New Zealand (NZD 40,000), towards development of a pilot online Conservation Database, promotion and dissemination of the Whale Watching Handbook and support for bycatch mitigation/disentanglement with final allocations to be determined. In August 2018, the US made a contribution to the VCF with £9,200 (USD12,000) allocated to bycatch, £2,250 (USD3,000) to whale watching and £7,500 to Ship Strikes (USD10,000).

**Table 1. Voluntary Conservation Fund 2016 – 2018** (Table correct to 31 August, 2018)

	<b>Whale Watching Handbook</b>	<b>Bycatch</b>	<b>Database of Recommendations</b>	<b>Ship Strikes</b>	<b>Unallocated</b>	<b>Total</b>
Opening Balances, Income & Allocations (£)	42,774	55,262	19,650	7,500	124,011	<b>249,197</b>
Expenditure & Commitments (£)	(40,524)	(29,411)	(19,650)	-	-	<b>(89,585)</b>

<b>Available Balance (£)</b>	<b>2,250</b>	<b>25,851</b>	<b>-</b>	<b>7,500</b>	<b>124,011*</b>	<b>159,612</b>
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\*includes the contribution from New Zealand to be allocated between online Conservation Database, Whale Watching Handbook and bycatch mitigation/disentanglement.

The distribution of the remaining funds will be allocated by the Voluntary Conservation Fund Steering Group according to its criteria and allocation process.

Next steps:

- *The Steering Group for the Voluntary Conservation Fund will continue to oversee and report on the allocation and dispersal of the funds of the VCF. 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.*

**3. Updated Terms of Reference and Future Workplan of the ICG-SF**

Although the ICG-SF has completed most the actions of its current workplan, some actions would benefit from further development and support from the ICG-SF while they are being put in place. This includes assisting the Secretariat in fulfilling the mandate it has received with regards to their engagement with other organisations and identifying new opportunities, to take forward possibilities for joint fund raising or partnership work in order to implement the Commission’s recommendations and to reach out to potential funders as well as for the development of grant proposals etc.

Hence there are a few things that the ICG-SF might do in the forthcoming intersessional period that relate to the current mandate or to new activities of relevance. Revised Terms of Reference are proposed in Annex 4 . In addition, a new workplan (Annex 5) is proposed for adoption.

Next steps:

- *Upon endorsement the ICG-SF will start implementing the future workplan in the next intersessional period.*

**Annex 1 Previous (2016-2018) work plan of the Intersessional Correspondence Group on Strengthening IWC Financing with progress update.**

<b>Activity</b>	<b>Undertaken by</b>	<b>State of Play (August 2018)</b>
Report to IWC67 on the need for a Code of Ethical Fundraising	ICG-SF	Draft proposal submitted to F&A as document IWC/67/FA/14
Maintain the financial pages on the IWC website to ensure they remain current and relevant.	IWC Secretariat	Continuous
Continue the administration of the Voluntary Conservation Fund and explore ways to publicise the Fund and encourage contributions.	ICG-SF and IWC Secretariat	Continued by SG-VCF
Establish a process to allocate the Voluntary Conservation Fund, building on the experience from the Small Cetaceans Fund.	ICG-SF and IWC Secretariat	See doc IWC/67/FA/04
Review the eligibility criteria to ensure they are consistent with the Conservation Committee Strategic Plan.	ICG-SF	See doc IWC/67/FA/04
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	Continuous
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	Secretariat is continuously working on the engagement with other organisations.  In order to make joint fund raising, a useful exercise, concrete project proposals are needed.
Ongoing review of opportunities to engage with Trust Funds/Foundations and their relevance to the IWC work programme, including outreach where appropriate.	IWC Secretariat	Continuous
Develop budgeted work plans including a list of projects that require external funding.	ICG-SF, IWC Secretariat, Chairs of the Conservation Committee and its Standing Working groups	Template for budgeted projects has been developed. SWG CMP and Bycatch will do some trials using the template.  An e-mail has been sent to the chairs of other sub groups and committees to request for their feedback and to request them to use it, if applicable, before IWC67.  The Secretariat is developing a list with standard costs (eg travel costs, meeting costs, etc)
Ongoing review of available funding streams that could potentially be accessed to support the implementation of the Commission's recommendations.	IWC Secretariat	Continuous

Activity	Undertaken by	State of Play (August 2018)
Develop project templates and outline standard costs, to support the development of project proposals.	IWC Secretariat	Done
Develop funding proposals and submit grant applications to support activities recommended by the Commission.	ICG-SF, IWC Secretariat, Chairs of the Conservation Committee and its Standing Working groups	To be taken up in new work plan based on the progress made in identifying potential sources of funding as well as guidance in the Code for Ethical Fundraising.
Agree the Chair of the ICG-SF for the next intersessional period.	ICG-SF	Stephanie Langerock (Belgium), was elected Chair during IWC66

## Annex 2 – Draft Template for Project Proposal and Budget

**1. Project Title**

**2. Lead Working Group**

*Please note which Working Group has recommended the project be taken forward.*

*Additionally, if other Working Groups or Subcommittees have interests in the work of this project, please list them here.*

**3. Project Description**

*A very brief overview of the project proposal and its expected outcomes.*

**4. Project Justification**

*Demonstrate connections to relevant recommendations and Resolutions endorsed by the Commission including, where relevant, the Conservation Committee’s Strategic Plan.*

**5. Relevant IWC Voluntary Funds**

*Please list all relevant IWC Voluntary Funds and which criteria this project meets.*

**6. Relevant External Funding Opportunities**

*Please list all relevant external funding opportunities identified.*

**7. Overview of activities**

Activity	Expected Results	Timeline	Budget Implications	
			Type (Salary, Travel, Meeting Services, Equipment, Other)*	Estimated Cost (GB pounds)
Add more rows as needed				

\*Salary costs should include salaries for additional staff to be recruited but exclude staff time of existing Secretariat staff (core time), which is outlined below. Travel costs should include a breakdown of flights, accommodation and subsistence. Please contact the Secretariat for guidance on subsistence rates.

**8. Core Secretariat support required**

Type	Detailed description	Number of days
IT/database		
Communications		
Meeting Services		
Project management		
Other		
<b>Total</b>		

**9. Potential partners or funders**

*Please include a list of all potential partners and funders and their role in this project.*

**10. Project requirements/Permits/Insurances**

*Please list any constraints or other considerations e.g. field work permits, CITES permits, welfare concerns, security considerations etc*

*Please confirm that all relevant insurances are secured.*

**11. Possible Risks**

*This should include all possible risks or uncertain factors that might have a negative impact on the project and their possible consequences. Add mitigation options, if possible.*



**Annex 3 Potential external funding opportunities**

The list below is an initial list of potential funders that have been identified by the Secretariat. The Secretariat is compiling information on the scope, coverage, priorities and funding cycles of these bodies to identify those potentially suitable to approach for funding, once a list of projects is developed.

Note that funds can be applied for directly from many of these funds, whereas others could only be accessed through or in partnership with others e.g. IWC contracting members or other organisations.

The Conservation Committee is requested to send any additional funding sources to the Secretariat for inclusion in this list.

<b>Funder Type</b>	<b>Potential Donor</b>
Global institution	GEF
Global institution	World Bank
Global institution	IPBES matchmaking
Global institution	GBIF
Global institution	The Rapid Response Facility
Global institution	Fishcode- FAO
Global institution	World Bank
Global institution	World Bank- Challenge Fund
Regional body - Americas	Interamerican Development bank
Regional body - Europe	EU H2020
Regional body - Europe	EuropeAid - development and cooperations
Regional body - Europe	Natural Capital Financing Facility
Regional body - Europe	European Space Agency
Regional body - Europe	EU Framework Programme
Regional body - Europe	European Regional Development Fund (ERDF)
Regional body - Europe	European Commission
Regional body - Europe	LIFE Nature & Biodiversity
Regional body - Europe	LIFE Environment & Resource Efficiency
Regional body - Europe	LIFE Environmental Governance & Information
Regional body - Europe	LIFE Climate Change Mitigation
Regional body - Europe	LIFE Climate Change Adaptation
Regional body - Europe	LIFE Climate Governance
Regional body - Europe	EU Framework Programme
Regional body- Europe	EU Best programme
Regional body- Europe	EU INTERREG Programme (Atlantic, Mediterranean, Baltic Sea; Central Baltic, Northern Periphery and Arctic)
Regional body- Europe	European Maritime Fisheries Fund (EMFF)
Regional body- Europe	Nordic Cooperation
National governments	France - Fonds Français pour l'Environnement Mondial
National governments	UK - Darwin
National governments	Sweden - Swedish International Development Cooperation Agency SIDA
National governments	USA - NOAA
National governments	USA - NFWF
National governments	Canada- Fisheries and Aquaculture Clean Technology Adoption Program
National governments	Aid program- fisheries- Sweden
National governments	Aid program- fisheries- Norway
National governments	Aid program- fisheries- Canada

National governments	Aid program- fisheries- Australia
National governments/research body	Marine Mammal Commission
Charity grants	CCI
Charity grants	BiodivERSa
Charity grants	WWF Conservation Workshop Grants
Trust	IUCN Save our Species
Trust	MacArthur
Trust	Critical Ecosystem Partnership Fund
Trust	Morris Animal Foundation
Trust	Critically Endangered Animals Fund
Trust	Wildlife Without Borders
Trust	The Toyota Environmental Activities Grant Program
Trust	Walton Family Foundation
Trust	Siemens Stiftung (Foundation)
Trust	Stiftungsfonds Deutsche Bank
Trust	EINZELPROJEKTE OST
Trust	Robert Bosch Stiftung GmbH
Trust	The Conservation, Food and Health Foundation
Trust	Global Conservation Fund (GCF)
Trust	Rufford Small Grants for Nature Conservation
Trust	Mohamed bin Zayed Species Conservation Fund
Trust	MAVA Foundation
Trust	International Baltic Sea Conservation Foundation
Trust	Baltic 2020
Trust	The David and Lucile Packard Foundation
Trust	Fondation Segre
Trust	Oceans 5
Trust	Gordon and Betty Moore Foundation
Trust	Oak Foundation
Trust	Marisla Foundation
Trust	Waite Foundation
Trust	Marilles Foundation & Adessium Foundation
Trust	Kingfisher Foundation
Trust	National Geographic
Trust	Leonardo Di Caprio Foundation
Trust	Paul M Angell Family Foundation
Trust	Lenfest Ocean Program
Trust	Save our Seas Foundation
Trust	Pure Ocean
Trust/Awards	Stephen Lloyd Awards
Trust	Conservation International- Global Conservation Fund

**Annex 4: Proposed Revisions to the Terms of Reference for the Intersessional Correspondence Group on Strengthening IWC Financing**

1. Oversee and review the implementation of medium term actions needed to strengthen IWC financing including continued development of costed work plans.
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. Continue work to develop and review a Code of Ethical Fundraising.
4. Advise and assist the Secretariat and Working Groups in making applications for external funds to support relevant IWC projects.
5. Provide advice on any recommendations of the IWC Governance Review that relate to external fund raising and the enabling conditions for fund raising activities e.g. budgeting and costed work plans.
6. Continue to examine ways to integrate conservation funding into the overall budget considering both core and voluntary funding and make recommendations as appropriate.
7. Report to the Finance and Administration Committee annually on progress, making any recommendations for further work as needed towards long term IWC financing.

**Annex 5: Proposed workplan (2018-2020) for the Intersessional Correspondence Group on Strengthening IWC Financing**

<b>Activity</b>	<b>Undertaken by</b>	<b>Resource implications<sup>2</sup></b>
Continue the development of costed work programmes.	ICG-SF, Secretariat	Core
Test the costed work programmes and review is needed / help with fine-tuning.	ICG-SF, Secretariat, SWGs	Core
Support the Secretariat in compiling a list of potential external funding opportunities.	ICG-SF, Secretariat, SWGs	Core
Support/Advise the Secretariat, Commission bodies, and working groups, and others on outreach to funding bodies and other partners.	ICG-SF, Secretariat, SWGs	Core
Support and advise Working Groups and the Secretariat in the development and submission of funding proposals.	ICG-SF, Secretariat, SWGs	Core and potentially additional Secretariat time required
Submit at least one request for external funding during the intersessional period. (preferably several to test the different processes related to different kinds of funds)	ICG-SF, Secretariat, SWGs	Core, voluntary funded Secretariat staff, and potentially additional Secretariat time required
Provide advice on any recommendations of the governance review that relate to external fund raising and associated projects, including the enabling conditions for fund raising e.g. budgets and costed work plans.	ICG-SF	Core
Develop/Look into options for a minimum environmental standard for corporate funding.	ICG-SF	Core
Explore new and innovative fundraising methods like crowdfunding.	ICG-SF, Secretariat	Core
Review the code for Ethical fundraising and update if necessary.	ICG-SF	Core
Maintain the financial pages on the IWC website to ensure they remain current and relevant.	IWC Secretariat	Core
Ongoing review of available funding streams that could potentially be accessed to support the implementation of the Commission's recommendations.	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

<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.