

Report of the Small Advisory Group on Conservation Management Plans

Submitted by the Government of Australia on behalf of the Small Advisory Group on Conservation Management Plans

Overview

Conservation Management Plans (CMPs) were introduced into the International Whaling Commission (IWC) at IWC60 to provide the Commission with an adaptive, flexible, tailored management tool that can be applied to improve conservation outcomes for cetaceans through the targeted management of human activities. At IWC61, the Small Advisory Group (SAG) on CMPs was established, within the Conservation Committee, to oversee the development of CMPs.

Presented here, on behalf of the SAG, are key guiding documents to assist those member countries wishing to undertake a CMP, as well as recommendations aimed at strengthening the IWC's engagement on this issue into the future.

CMP Guidelines

At IWC62, the Commission directed the SAG to establish clear policy principles for CMPs and to produce agreed guidelines which would (a) assist countries wishing to develop their own CMPs and (b) assist the determination of conservation priorities for the implementation of CMPs that would be supported by the IWC.

Since IWC62, the SAG has corresponded intersessionally and the Group met in Brussels on 25 March 2011. A key output of the meeting was the development of a set of CMP Guidelines, which are attached herewith. The CMP Guidelines include three annexes:

- funding principles and processes to guide IWC support for CMPs;
- a CMP nomination template; and
- a CMP template.

The CMP Guidelines set out a clear framework and process for the rigorous and timely delivery of CMPs, based on the best available science and management advice. The funding principles and processes seek to guide appropriate provision of IWC funding support for CMPs should the Commission elect to support the development or delivery of key components of the plan. The templates are intended to assist proponents in the preparation of a nomination and the development of a CMP.

The SAG commends these documents to the Conservation Committee and the Commission.

Future Role of the Small Advisory Group

The Small Advisory Group has played an important role in supporting and guiding the CMP initiative in the Conservation Committee. The Group believes there would be considerable benefit in continuing this function as nominations are received and CMPs developed, implemented and reviewed. Accordingly, the Small Advisory Group recommends that it be reincorporated as a standing working group of the IWC Conservation Committee, to be known as the 'Standing Working Group on Conservation Management Plans' (the CMP Working Group).

The CMP Working Group would be tasked with providing assistance to CMP proponents and facilitating cooperation between the Conservation Committee and the Scientific Committee in areas relating to CMP nomination, development, implementation, monitoring and review.

Membership of the CMP Working Group would be comprised primarily of members of the Conservation Committee, but would also include members from the Scientific Committee and from other IWC groups as appropriate. The CMP Working Group would report annually to the Conservation Committee under an appropriate standing agenda item. Draft Terms of Reference for the CMP Working Group are included herewith.

Current CMPs

At its meeting in Brussels, the SAG reviewed progress toward developing or delivering CMPs previously identified by the Commission. The IWC Scientific Committee continues to consider and provide advice on current CMPs.

Western Gray Whale

In October 2010, a team of scientists from Russia and the United States satellite tagged a western gray whale off Sakhalin Island, Russia. This is the first western gray whale to be tagged and tracked using telemetry.

On 4 December 2010 Sakhalin Energy announced its intention to begin planning for construction of a third offshore oil and gas platform in the Piltun-Astokh field, located near the primary feeding ground of the western gray whale. Sakhalin Energy has requested independent scientific advice from the Western Gray Whale Advisory Panel, to minimise risks to the whale population.

The Western Gray Whale Advisory Panel has met twice since IWC62, in December 2010 and May 2011. Meeting reports can be found on the IUCN western gray whale conservation initiative website, located at: <http://www.iucn.org/wgwap/>.

South American Southern Right Whale

At IWC62, the Commission endorsed a proposal to develop a CMP for the Chile-Peru population of southern right whales, and also, in light of the recent die-off, for southern right whales in Argentina. The Commission also endorsed a recommendation to hold a CMP workshop for South America's southern right whales.

Argentina advised it proposed to submit a short CMP nomination to IWC63 on behalf of participating range states, noting that subsequent work would be significantly influenced by the outcomes of the Scientific Committee's Comprehensive Assessment Review of southern right whales in Argentina in September 2011.

Arabian Sea Humpback Whale

Belgium reported on moves to engage relevant scientists to commence considering the development of a proposal to undertake a CMP for the Arabian Sea population of humpback whales, together with key range states. Engagement is at an early stage.

Recent media articles have also drawn attention to this population. On 19 April 2011, the Global Arab Network reported that "the coast of Oman [is] a habitat for a genetically unique

and isolated population of whales, recently given the official name Arabian Sea Humpback Whale population by the International Whaling Commission”.

Future CMPs

The SAG sees merit in the Scientific Committee undertaking an analysis of priority candidates for future CMPs. Such a list would prove useful in informing discussions within the Commission, including on matters relating to CMP funding support.

The SAG also sees merit in the Conservation Committee undertaking an inventory of cetacean conservation measures (such as recovery plans, management plans etc.) currently in place or underway by jurisdictions, on a regional basis. From this, it would be possible to identify cetacean conservation management gaps, and opportunities for addressing these, for priority candidates, through a collaborative regional approach.

Recommendations

The SAG recommends that the Conservation Committee endorse the following recommendations for consideration by the Commission:

- that the attached CMP guidelines, templates and funding principles be adopted;
- that these documents be placed on the IWC website for use by members wishing to undertake a CMP;
- that the SAG be reconstituted as a Standing Working Group on CMPs;
- that the attached terms of reference for the CMP Working Group be adopted;
- that the Scientific Committee be invited to undertake an analysis of priority candidates for future CMPs; and
- that the Conservation Committee be tasked with undertaking an inventory of cetacean conservation measures currently in place or underway in jurisdictions, on a regional basis.

Attachments:

Appendix A: Guidelines for Conservation Management Plans

- Annex 1: Funding Principles and Processes
- Annex 2: Nomination Template
- Annex 3: Conservation Management Plan Template

Appendix B: Draft Terms of Reference for the Standing Working Group on Conservation Management Plans

International Whaling Commission

Appendix A

Guidelines for Cetacean Conservation Management Plans

Table of Contents

Introduction	6
Conservation Management Planning	7
Governance and support.....	7
Funding.....	8
Process.....	8
CMP Nomination	10
Purpose of a CMP nomination	10
Who can make a nomination?	10
Key issues covered in the nomination.....	10
CMP Nomination Process	11
CMP Development.....	13
Core Components of a CMP	13
CMP Development Process.....	15
CMP Implementation, Monitoring & Reporting and Review	17
Implementation.....	17
Monitoring & Reporting.....	17
Review – adaptive management.....	17
Annex 1 - CMP Funding: Principles and Processes.....	18
Annex 2 – CMP Nomination Template.....	20
Annex 3 – CMP Template.....	24

List of Tables

Table 1. Key issues for consideration in the review of CMP Nominations	11
Table 2. Key issues for consideration in the review of a draft CMP.	16

List of Figures

Figure 1. Steps in Conservation Management Planning	9
Figure 2. Core components of a CMP	15

Introduction

Over-exploitation severely reduced many populations of the world's great whales, some to near extinction. Despite cessation of whaling on most of these, some populations remain severely depleted.

Cetacean populations face a suite of contemporary and emerging threats arising from direct sources (such as fishing bycatch, ship strikes and direct takes) and indirect sources (such as habitat loss and degradation, pollution, climate change, and acoustic disturbance).

As these threats may increase in frequency and intensity, the need to understand their impacts on cetaceans, evaluate them and where necessary develop and implement mitigation measures and monitor the success of these, is crucial to the conservation of cetaceans and their habitat.

Introduced at the 2008 International Whaling Commission annual meeting (IWC60), Conservation Management Plans (CMPs) can provide the IWC with a practically-focused management tool for improving conservation outcomes for the most at risk cetacean populations.

Based on the best available science and management expertise, CMPs should focus on reasonable, practical and achievable management actions that have the greatest chance of achieving measurable improvements in the conservation status of cetacean populations, including the necessary levels of protection for critical habitats. CMPs are living documents that are reviewed periodically based on monitoring of the populations/habitats concerned, assessment against measurable milestones, and compliance with and enforcement of agreed measures.

The development and effective implementation of CMPs require that they complement existing international conventions and agreements, as well as current national legislation and management regimes in participating range states. It is important to note that CMPs are designed to address, in a coordinated and collaborative way, transboundary gaps in existing conservation measures, but are not designed to supplant or 'override' domestic measures. An essential component is the active involvement of key stakeholders - including those whose actions contribute to the threats.

A Small Advisory Group on Conservation Management Plans (SAG) has been established within the Conservation Committee to oversee the development of CMPs¹.

The first draft CMP - for the Western North Pacific gray whale population - was endorsed at IWC62 (SC/62/BRG24), at which time the Conservation Committee highlighted the need to agree upon and articulate clear policy objectives for CMPs, and to produce an agreed framework and electronic templates for applications to develop future CMPs and to guide their subsequent development. These were considered necessary to assist countries wishing to develop conservation management proposals and plans; and to assist the determination of conservation priorities for the implementation of CMPs that would be supported by the IWC.

¹ Current members are Argentina, Australia, Belgium, Brazil, Mexico, New Zealand, South Africa, the United Kingdom and the United States of America, with observers from Spain, and the IWC Scientific Committee.

Conservation Management Planning

To contribute to the IWC's work to support the recovery and conservation of cetaceans, the development of CMPs needs to be both rigorous and timely. Rigorous in that the resulting plans need to effectively target the most appropriate actions to address the most important problems, and timely in that their nomination, development and adoption should be able to be undertaken relatively quickly – important for populations or threats that require urgent action.

Since they are management tools, CMPs 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 approach². They should also be multilateral in scope – that is: plans should be developed and implemented by more than one range state along with relevant stakeholders.

To be effective, CMP implementation must be adaptive – subject to modification from new findings, changes in species status, and completion of planned actions. They are living documents.

Governance and support

Experience to date indicates that effective coordination is critical to the timely and rigorous development and implementation of a CMP. In order to ensure CMPs are progressed effectively, there would appear to be a clear benefit from the appointment of a designated coordination position, supported by a steering committee, at the earliest practical point in the CMP cycle.

Access to guidance from the Commission itself is equally important, and to this end, the SAG has been re-established as a standing working group of the IWC Conservation Committee, known as the 'Standing Working Group on Conservation Management Plans' (the CMP Working Group) to be the primary source of such guidance. Members are drawn from both the Conservation and Scientific Committees and reporting to the Commission is via the Conservation Committee, with advice from the Scientific Committee as required. Assistance from the Secretariat, Scientific Committee or Conservation Committee may also be requested via the Commission at any stage of the CMP process.

² The Precautionary Approach should be used when considering conservation management actions in the CMP nomination. Insufficient information relating to a particular characteristic of the nomination need 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 – as noted, a CMP is a living document.

Funding

Funding for CMPs will be drawn from a range of sources. It is assumed that proponents of a CMP, including signatory range states to the nomination and subsequent plan, will be the primary source of funding for the development and implementation of the CMP.

However, parties to a CMP nomination may not always have sufficient resources or expertise to nominate, develop or implement, monitor and review a CMP. In such circumstances, funding support, in particular for co-ordination purposes, may be available from the IWC. It may assist the IWC in its consideration of a proposed CMP for parties to a CMP nomination to outline funding contributions in support of the proposed CMP that will complement funding from the IWC, including contributions from nominating parties and other sources.

There are currently two streams of IWC funding that may be available for this purpose - voluntary contributions from member states for conservation purposes, and the Scientific Committee Research Fund. Information on CMP funding principles and processes are set out in **Annex 1**.

Process

The CMP planning process involves a number of interrelated stages – CMP nomination; plan development; plan implementation, monitoring and review.

These are illustrated in Figure 1.

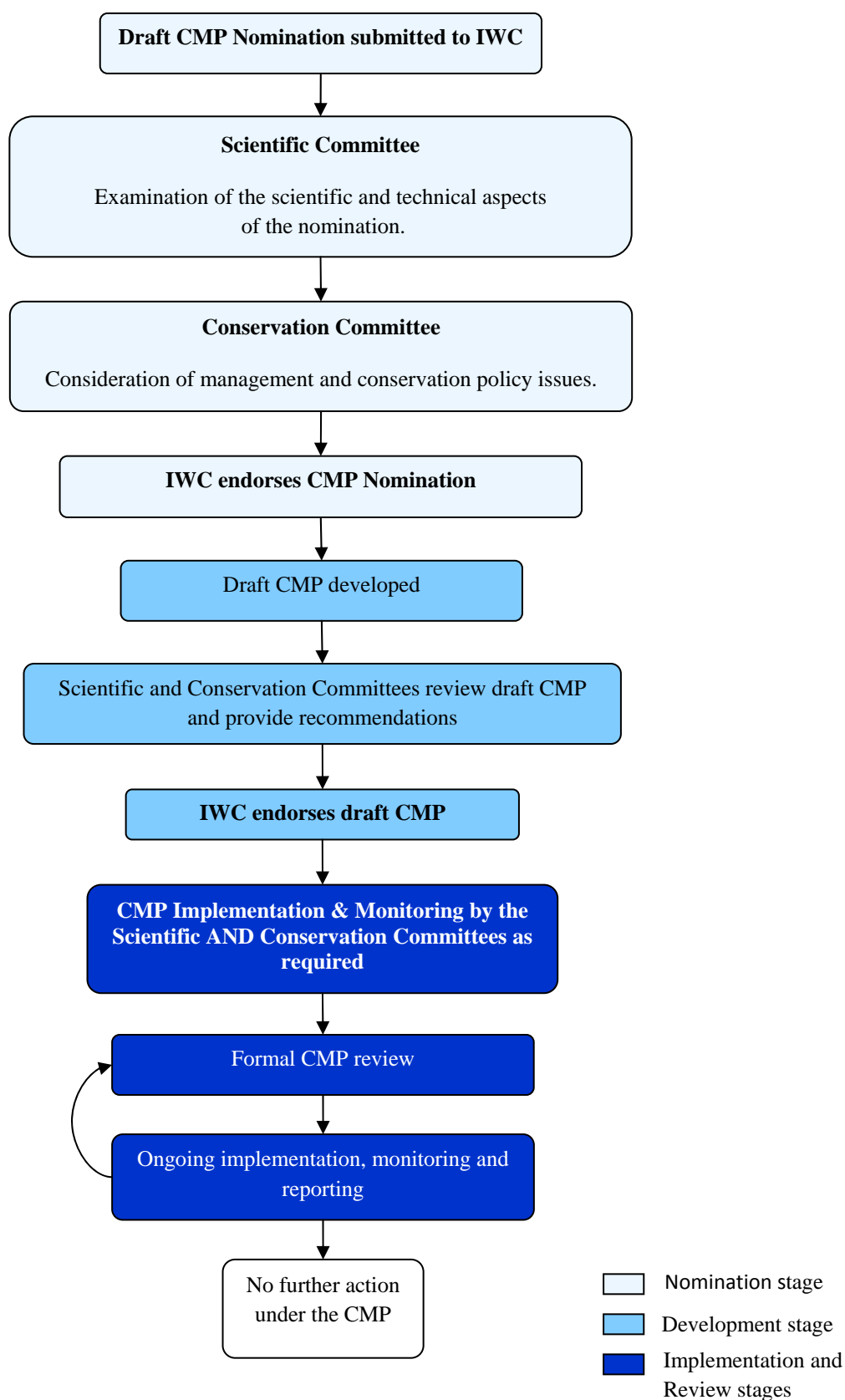


Figure 1. Steps in Conservation Management Planning

CMP Nomination

When a cetacean population, threat or critical habitat has been identified as being a candidate for a CMP, a nomination is required in order to commence the formal IWC approval process.

Purpose of a CMP nomination

The nomination process is designed to ensure that investment of time, energy and resources by the IWC is warranted, in that a) the underlying science demonstrates that urgent conservation action is needed for a specific population, threat or habitat; and b) that positive conservation gains are likely to be achieved through the implementation of a CMP.

The nomination should provide the information necessary to allow the IWC's Scientific and Conservation Committees to consider these questions, and formulate their advice to the Commission.

Who can make a nomination?

While the development and implementation of plans and their component actions may involve a range of players – states, scientists, industries, communities and non-government organisations; nominations to the IWC can be made in only two ways: either by IWC 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** in terms of anticipated recovery or conservation benefits, and their relationship with aims and objectives of the IWC.
- 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 IWC) in the development and implementation of the planned CMP.
- Key elements of the **process** to be adopted in developing the plan.
- Anticipated **timeframe** for the development of a plan.

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

The investment of appropriate time and resources in the development of the nomination is critical, as the analysis and information contribute to the CMP itself.

CMP Nomination Process

The CMP Working Group plays an important coordinating and supporting role during the nomination process. IWC member states planning to develop a nomination should initially discuss their proposal with the Group.

This allows for the early testing of ideas and issues and for informal engagement with both the Scientific Committee and the Conservation Committee. Liaison with members of the Conservation and Scientific Committees, who are not members of the CMP Working Group, may also occur. The early appointment of a co-ordinator for the proposed CMP is invaluable in this respect.

It may be that one or either of the Committees is actively considering the populations and/or threats which will form the basis of the nomination and guidance can be provided in the drafting of the nomination, facilitating and expediting subsequent formal consideration by the respective Committees.

Completed nominations are submitted to the IWC Secretariat. Formal advice on the nominations is then sought from the Scientific and Conservation Committees.

Each Committee will assess the nomination using its respective expertise as a baseline. The Scientific Committee will examine the feasibility of the CMP by considering all technical matters pertaining to the nomination. This advice would then be passed to the Conservation Committee to inform its subsequent considerations of the nomination with respect to management and conservation policy matters.

The Nomination, and the Committees' advice and recommendations, will then be put to the Commission for consideration. 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.	Is the proposed CMP the most efficient management tool for addressing the conservation needs of the nominated population(s)?	
2.	Are the short, medium and long-term goals clearly defined? Have the objectives, to the extent feasible, been quantified? Have the objectives been prioritised?	
3.	Is the underpinning scientific rationale supporting the nomination reasonable? Have threats been evaluated on the basis of a scientific assessment? If not, what is the evidence?	Are the identified goals and actions consistent with IWC policies, programs and initiatives; and with any other relevant multi-lateral environmental agreements (MEAs), or regional natural resource management arrangements?

4.	Is scientific uncertainty appropriately reflected and taken into account in the goals, actions and anticipated outcomes?	Are research, data collection and capacity building activities clearly linked to subsequent on-ground actions and measurable conservation outcomes?
5.	Is the relationship between the threats and the impacts on the nominated population or habitat established? If yes, has it been quantified? Do the identified actions directly address the threats or its symptoms?	Will proposed governance arrangements support effective delivery, coordination and reporting of actions?
6.	Is the CMP, if successfully implemented, likely to provide positive conservation outcomes for the nominated population or habitat? Could the likelihood of success of alternative management actions be evaluated by simulation?	Does the nomination include the required partners for effective conservation actions?

CMP Nomination Template

A template has been developed to assist parties in the preparation of CMP nominations (**Annex 2**).

Note

Once agreed and approved, the template will be presented as an electronic web-based tool with appropriate drop down menus and hyperlinks.

CMP Development

Nominations should be developed in response to significant existing and/or emerging threats. To maintain the momentum of the CMP, material prepared for the nomination can be incorporated into the plan itself and plan development can start as soon as a nomination has been prepared, anticipating acceptance by the Commission.

Continuing work will also facilitate the timely development of the plan, allowing for endorsement of the plan itself at the earliest possible opportunity – ideally the following IWC meeting. The Commission's document submission deadlines require the draft CMP to be submitted to the IWC Secretariat no less than 60 days prior to an annual meeting. Should a draft CMP be submitted beyond that date, it may not be considered until the following annual meeting, resulting in unhelpful delays. There should, however, be few impediments to the start of agreed and non-Commission funded recovery or mitigation actions prior to formal endorsement of the plan.

Core Components of a CMP

While the focus of a CMP will vary depending on its key objectives (for example, recovery of a critical population(s); mitigation of key threats to one or more populations or recovery of critical habitats), there are a number of core information sets/components that all plans should address to varying degrees. These are outlined in Figure 2 below.

Co-operation 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, the nominating states may wish to outline in their plan any enforcement measures they propose to adopt to assist in the effective implementation of the plan.

Goals and objectives

The manner and nature of 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. To this end agreed actions arising from identified mitigation measures need to be clearly aligned with goals and objectives and a monitoring programme incorporated as an integral part of the CMP.

Actions

These form the key component of any CMP. While there may be overlap, these can generally be incorporated under the following categories:

- co-ordination;
- public awareness and capacity building;
- research essential for providing adequate management advice or filling knowledge gaps;
- monitoring; and
- mitigation measures.

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

- (1) Description (including concise objective, threats to which relevant and how, rationale, target data or activity, method, implementation timeline);
- (2) Actors (responsible for implementation and relevant stakeholders);
- (3) Evaluation (actors responsible);
- (4) Priority (importance to the plan and feasibility);
- (5) Costs (where appropriate).

Governance

In the event that a co-coordinator (and supporting steering committee) has not yet been appointed, this should be considered as a 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 IWC 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, and experience suggests that in general, early and ongoing opportunities for engagement during development are beneficial.



Figure 2. Core components of a CMP

Process

At the request of the proponent or the range state, the CMP Working Group may continue to play a supporting role during the development of a CMP, providing advice as required.

The opportunity also exists for the establishment of short term CMP-specific working groups within the respective Committees to support range state(s) during the development of the plan. This may also expedite subsequent formal review by the Committees.

Once completed, draft plans are submitted to the IWC Secretariat. The Scientific and Conservation Committees will then be requested to formally review the draft CMP. Key issues considered by the Committees in their reviews will include both those matters considered in reviewing the Nomination, as well as a number of other questions. These are set out in Table 2, and the list is not exhaustive. The Committees and nominating range states may also need to consider human capacity implications if any CMP actions fall out of range state jurisdiction.

CMP Development Table 2. Key issues for consideration in the review of a draft CMP.

	Scientific Committee	Conservation Committee
1.	<p>Are the short, medium and long-term goals clearly defined?</p> <p>Will the proposed actions measurably deliver on the stated goals and objectives?</p> <p>Are the proposed actions the most appropriate response measure?</p> <p>Have proposed actions been appropriately prioritised?</p> <p>Have any key actions been omitted?</p> <p>Have the budget implications for proposed actions and mitigation measures been considered?</p> <p>Has the effectiveness of the scientific monitoring program for a plan been considered?</p> <p>Will the proposed scientific monitoring program be used to assess the effectiveness of the plan?</p> <p>Are the proposed actions achievable within the lifespan of the plan?</p>	
2.	<p>Is the underpinning scientific rationale supporting the plan reasonable?</p> <p>Does it provide the necessary scientific justification for implementation of the plan?</p>	<p>Where actions relate to activities addressed by other MEAs and regional arrangements, will the actions further advance progress beyond these existing arrangements?</p>
3.	<p>Is the relationship between the threats and the impacts on the nominated population or habitat established?</p> <p>Have those relationships been quantified and if so, have they been shown to be statistically significant?</p>	<p>Are research, data collection and capacity building activities clearly linked to subsequent on-ground actions and measurable conservation outcomes?</p>
4.	<p>Do the identified actions address the threats or its symptoms?</p> <p>Has the impact of alternative actions been evaluated by simulation?</p>	<p>Will proposed governance arrangements support effective delivery, coordination and reporting of actions?</p>
5.	<p>Is scientific uncertainty appropriately reflected and taken into account in the goals, actions and anticipated outcomes?</p>	<p>How effectively does the scientific data underpin management decisions?</p>
6.		<p>Is the CMP consistent with the principles of adaptive management?</p> <p>How often will CMP performance reviews take place?</p>

The Draft CMP, and the Committees' advice and recommendations, will then be put to the Commission for consideration.

CMP Implementation, Monitoring & Reporting and Review

Implementation

Where nominations come from member states, the specifics of implementation post Commission endorsement are at the discretion of the participating range states and associated stakeholders. Notwithstanding this, inclusion of an implementation strategy to give effect to critical elements of the CMP will still form an important component of review and endorsement by the Commission (Item 4, Table 2). National legislation will, however, always provide the overarching framework for cetacean conservation measures in participating range states.

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 the participating range states.

Where funding for 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.

An implementation strategy can usefully be developed at the same time as a draft CMP and may be submitted with the draft to the IWC.

Monitoring & Reporting

The establishment of appropriate monitoring and compliance regimes will play an important role in securing endorsement by the IWC. Participating range states will need to consider advice from the Scientific and Conservation Committees on requirements for reporting.

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 changed conditions arising from the implementation of actions and the attainment of objectives, over time.

The scheduling and nature of review(s) of the success of the CMP in the light of monitoring and reporting will form an important part of securing endorsement by the Commission. Review by the Commission and its Scientific and Conservation Committees will form an important component of the review process.

CMP Template

A template (**Annex 3**) has been developed to assist parties in their preparation of draft plans.

While plans will be developed to address different objectives, for the sake of clarity, the template has been prepared using a single example – recovery of a population.

Annex 1 - CMP Funding: Principles and Processes

The assumption is that the proponents of a CMP and any range states that are signatories to the nomination and subsequent plan will be the primary source of funding to support its development and implementation.

Consideration by the Commission on whether to 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.

The following guiding principles have been developed for use by relevant Working Groups and Committees in developing their advice on funding request to the Commission.

Funding principles

1. Eligibility is limited to CMPs generated within the Commission - that is by its committees or member states.
2. Eligibility for 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 states³.
3. Funding recommendations will be made on the basis of conservation priority and cost effectiveness.
4. For the nomination and plan development phase, funding to employ a coordinator may be sought for a maximum of two years.
5. For plan implementation, funding support is primarily for coordination and governance activities. It will be considered on a case by case basis, and requires demonstration by participating range states of formal governance arrangements and funding commitments for key actions.
6. Funding requests for research-related actions under CMPs will be referred to the Scientific Committee.

Funding Processes

Accessing Voluntary CMP Contributions

At IWC61 (2009) a voluntary contribution in the order of GBP 300,000 was made to support the undertaking of CMPs in the IWC (IWC/61/CC23). Additional voluntary contributions can reasonably be anticipated in the future.

³Capacity 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. For the 2008/09 financial year, Group 1 member states had a GNI <US\$11,850,000,000 and GNIPC <US\$11,850. Group 2 member states had a GNI >US\$11,850,000,000 and GNIPC <US\$11,850. Capacity to pay group listings are provided by the IWC Finance and Administration Committee in their annual report.

The following process provides for the disbursement of these funds:

1. Submissions to access voluntary contributions to support any stage of the CMP process must be received by the Conservation Committee in sufficient time for them to be considered at or before the annual meeting of the IWC.
2. Submissions will be reviewed by the Standing Working Group on Conservation Management Plans (CMP Working Group), using agreed funding principles.
3. The CMP Working Group will make funding recommendations to the Conservation Committee in priority order, and may recommend supporting requests in full or in part.
4. The Conservation Committee will recommend in priority order to the Commission those funding requests it judges best meet the funding principles.

Accessing the Research Fund

The following process applies to parties seeking funds from the Scientific Committee's Research Fund:

The **Rules of Procedure** of the Scientific Committee state:

“G. Financial Support for Research Proposals

1. The Scientific Committee shall identify research needs.
2. It shall consider unsolicited research proposals seeking financial support from the Commission to address these needs. A sub-committee shall be established to review and rank research proposals received 4 months in advance of the Annual Meeting and shall make recommendations to the full Committee.
3. The Scientific Committee shall recommend in priority order those research proposals for Commission financial support as it judges best meet its objectives.”

A *pro forma* for applying for money under the Research Fund can be found on the IWC website at: http://iwcoffice.org/_documents/sci_com/handbook/ResearchProposal.pdf

Annex 2 – CMP Nomination Template

Nomination of a Conservation Management Plan
for <insert name of nominated cetacean
population(s), threat or critical habitat>

This Nomination was prepared by <insert
proposing member government(s) or Committee(s)
as appropriate>

<Date>

Notes on using this template:

- *Text in blue is for guidance only and can be kept in the template for reference*

CMP Nomination - Key issues

The following issues should be addressed in the CMP Nomination.

Scientific Rationale for a CMP

(a) Information on the cetacean population(s)

Insert a summary of the underlying scientific rationale for developing a CMP. This should include relevant information in the following areas: taxonomy and biological data of the species/population, its distribution and population estimates, trends and structure (if available), specific habitat use and characteristics and migration.

(b) Information on known and suspected threats to the population

Insert a summary of the threats affecting the target species/population and, to the extent possible, an assessment of their relative importance at the population level⁴. Where possible, summarise information on known or potential mitigation measures to identified threats. This can be provided in a summary table.

Actual/Potential Threat	Cause or related activity	Evidence	Possible Impact on population (may be an educated guess)	Priority for Action	Actual/possible mitigation measures
<i>e.g. bycatch</i>	<i>Set net fishing Bottom trawls</i>	<i>Strong</i>	<i>Possible high Mortality +/- serious injury</i>	<i>High, RES and MIT</i>	<i>Pingers; change in gear</i>
<i>e.g. other direct mortality</i>	<i>Ship strikes from commercial vessels</i>	<i>Moderate</i>	<i>Low</i>	<i>Low</i>	
<i>e.g. chemical pollution</i>	<i>Industrial development, sewer discharges</i>	<i>Moderate</i>	<i>Moderate</i>	<i>medium</i>	<i>Strict implementation of existing measures</i>

⁴ The principles of the Precautionary Approach should be used when considering conservation management actions in the CMP nomination. Insufficient information relating to a particular characteristic of the nomination need 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 – as noted, a CMP is a living document.

CMP Objectives and Outcomes

Outline the overall objectives of the CMP and anticipated short, medium and long term outcomes in terms of anticipated recovery or conservation benefits, where short, medium and long-term will normally be of the order of 5, 10 and 15 years. Include a description on the relationship between the CMP objectives and outcomes and the IWC's objectives.

Agreed and anticipated delivery partners

Provide information on the agreed (and any anticipated) stakeholders who will be involved in developing and implementing the plan. These should include relevant range states, either within or outside of the IWC, and stakeholders who are involved in the threats.

Process to be adopted when developing a CMP

Provide an outline of the procedural steps that will be undertaken by relevant range states (and others) when developing and implementing the plan.

Timeframe for CMP Development and Implementation

Provide a timeframe for the development and implementation of the CMP (as far as is possible) incorporating the IWC's procedural rules for the submission of documents.

Resource Requirements for Development of a CMP

In the event that resources will be sought from or through the IWC for the development of the CMP itself, the nomination will need to include both a budget and an outline of the proposed governance arrangements for managing any funds.

CMP Nomination – Supporting Information

Recommendations

Outline any recommendations that might require the attention of the IWC before finalisation of the CMP. This may include urgent actions that can be undertaken immediately during development of the CMP, such as appointment of a CMP Steering Group or Co-ordinator, urgent mitigation measures, or areas where support and resources may be required during the development of the CMP.

Nomination Submission Information

This nomination for a Conservation Management Plan for <insert name of nominated cetacean population, threat or critical habitat> has been submitted to the IWC Secretariat at least 60 days prior to <insert number of forthcoming IWC Annual Meeting> in accordance with the Commission's document submission procedures.

Submit Nomination to:

The International Whaling Commission Secretariat
The Red House
135 Station Road
Impington
Cambridge
Cambridgeshire, CB24 9NP
United Kingdom

References

Insert a list of references used to compile the information contained within the CMP Nomination.

Annex 3 – CMP Template

A Conservation Management Plan for <insert
name of nominated cetacean population(s), threat
or critical habitat

This Conservation Management Plan was prepared
by <insert proposing member government(s) or
Committee(s) as appropriate>

<Date>

Notes on using this template:

- *Text in blue is for guidance only and can be kept in the template for reference*

Table of Contents

List of Figures (as necessary)

List of Tables (as necessary)

Executive Summary

Provide a general overview of the plan. This section should include:

- Why a CMP is needed: Scene setting for a CMP – including a brief description of the target population, its habitat, and threats that impact the population.
- An overall goal of the CMP which would act as the mission statement for the plan.
- An overview of how the CMP is structured and what is detailed in each section.
- A *Summary Table of High Priority Actions* could also be included. High priority actions usually fall into the following categories:
 - co-ordination (COORD);
 - public awareness and capacity building (PACB);
 - research essential for providing adequate management advice or filling in knowledge gaps (RES);
 - monitoring (MON); and
 - mitigation measures (MIT).

1. Introduction

This section should briefly address the following questions:

- Why is active management needed for the identified cetacean population, threat or critical habitat?
- Why is a CMP the most appropriate management tool to achieve the stated conservation objectives?

This section should include:

- The scope, context and policy setting of the CMP.
- A detailed map of the known distribution of the population/critical habitat
 - If a CMP is being designed for a particular threat the map should include an outline of the area where the threat is encountered by the target cetacean population.
 - If the CMP is being designed for a particular critical habitat, the map should include the extent of the critical habitat.

- This section should also reference any current or previous conservation management actions relating to the draft CMP including conservation plans, legislation as well as any relevant peer reviewed papers or related documentation.

1.2 Overall Objectives of the CMP

To maximise the success of a plan and it ensure that required changes are identified promptly; the measurable short, medium and long-term objectives should be identified. Thus, the monitoring of the target population, human activities affecting it, mitigation measures, and the effectiveness of those measures is essential.

Objectives of a CMP will not only relate to the conservation of the population but also to the interests of relevant stakeholders.

Insert the overall short, medium and long term objectives of the CMP.

2. Legal Framework

Insert a list of relevant international conventions, agreements and legislation and management arrangements that the plan may relate to. Supporting information can be contained on Appendices.

[Please note that the below are examples only]

2.1 International Conventions and Agreements

2.2 National Legislation and Management Arrangements

2.2.1 Participating Range State A

National legislation with respect to the population of X whales

2.2.2 Participating Range State B

National legislation with respect to the population of X whales

2.2.3 Participating Range State C

National legislation with respect to the population of X whales

2.2.4 Participating Range State A

Area X Fisheries Management Plan

2.2.5 Participating Range State B

Marine Protected Area X Operational Management Plan

3. Governance

3.1 Coordination of a CMP

As a CMP may cover a large geographical area and involve several jurisdictions, it is important to establish an appropriate management structure for the CMP that identifies key stakeholders, their roles and responsibilities and the interaction between them during the development, implementation and review stages of the plan.

Insert an outline of the governance framework under which the CMP would be conducted, from the development stage through to the implementation and review stages.

3.2 Timeline for a CMP

Identify the various stages of a CMP with tasks and indicative timings for each stage as well as outlining which parties may be involved with the tasks identified.

4. Science

4.1 Biology, Status and Environmental Parameters

Insert concise background information on the nominated population(s), including:

- population structure;
- abundance and population trends;
- distribution, migration and movements; and
- basic biology (feeding, reproduction and survivorship).

Identify any knowledge gaps that exist in current data.

4.2 Critical Habitats Associated with the X Whale

If habitats are identified that are deemed as critical for the recovery and/or protection of a target cetacean population, the extent of these habitats and the purposes that they are used for should be outlined here.

4.3 Attributes of the Population to be Monitored

The ultimate success or failure of any CMP depends on improvements in the conservation status of the target population(s) – this can only be achieved by monitoring. Depending on the objectives of the CMP and the nature of the threats a population faces, a variety of candidate ‘attributes’ of the population can be considered for monitoring over time, to determine the success of the overall plan and/or individual actions and to amend the CMP where necessary.

This section should include a description of the attributes of the population that will be monitored (e.g.: abundance (relative and/or absolute), reproductive rates, survivorship, health, prey status, range) and an evaluation of the feasibility of detecting trends with current methods given that changes occur (e.g. using power analyses).

5. Threats, Mitigation Measures and Monitoring

5.1 Identification of Threats

This section should provide a summary of the known or suspected threats (both direct and incidental) to the nominated cetacean population/critical habitat. This should be summarised in tabular form (such as that seen below) but should also include a discussion of each explaining the rationale behind the summary. Where appropriate, reference should be made to actions within the CMP. Note: the first five columns in the table will form part of the nomination process.

Table: Summary of actual and potential threats to the nominated population.

Actual/Potential Threat	Cause or related activity	Evidence	Possible Impact	Priority for Action	Relevant Actions	Party Responsible
Directly lethal threats						
<i>e.g. Entrapment in set nets</i>	<i>Set net fishing</i>	<i>Strong</i>	<i>Mortality +/- serious injury</i>	<i>High</i>	<i>RES-01</i>	<i>Participating range states</i>
<i>e.g. Entanglements in Other Types of Fishing Gear</i>						
Sub-lethal threats						
<i>e.g. Noise, pollution, etc</i>						

5.2 Mitigation Measures and Monitoring

This section should include identified mitigation measures to address key threats and how the mitigation measures will be monitored. For example:

5.1 *Entrapment in Set Nets*

Undertake the following mitigation measures (MIT-01, 02, 03) and the following monitoring measures (MON-01, 02) to facilitate the conservation of species A in the area designated XYZ.

Undertake the following public awareness raising measures PACB-01, 02 to promote the conservation of species A in the area designated XYZ.

5.2 *Entanglements in Other Types of Fishing Gear*

6. Actions

These form the key component of any CMP. While there may be overlap, these can generally be incorporated under the following categories:

- co-ordination (COORD);
- public awareness and capacity building (PACB);
- research essential for providing adequate management advice or filling in knowledge gaps (RES);
- monitoring (MON); and
- mitigation measures (MIT).

It is important that actions be realistic and effective. They should be well specified (usually 1-2 pages for each action) and generally include the following information, where relevant:

- (1) Description (including concise objective, threats to which relevant and how, rationale, target data or activity, method, implementation timeline);
- (2) Actors (responsible for implementation and relevant stakeholders);
- (3) Evaluation (actors responsible);
- (4) Priority (importance to the plan and feasibility);
- (5) Costs (where appropriate).

6.1 Summary and Implementation of Actions

Insert a tabular summary of all actions here, referring to the 1-2 page detailed summaries (see above). In addition, include here an implementation strategy or designate responsibility for developing and implementing an implementation strategy along with a Management Framework.

Outline how the actions will meet the short, medium or long term objectives of the plan.

6.2 Stakeholder Engagement, Public Awareness and Education

Insert here a strategy and information on stakeholder engagement, public awareness and any education activities that will be undertaken during the CMP implementation stage (e.g. via websites, meetings etc.).

6.3 Reporting Process

A CMP should be considered a living document and once the implementation stage begins, a process of reporting and review is essential to determine how well the CMP is meeting its overall objectives and implementation timelines and milestones.

Insert process for reporting on CMP progress to the IWC (including a timeframe).

1. Bibliography

As a CMP should be based upon best scientific knowledge and guided by the principles and practices of adaptive management, it is important for a CMP to identify any published works relevant to effective implementation of the plan.

Insert bibliography here.

2. Appendices

Insert additional background and contextual information in appendices. For example, the original CMP nomination could be supplied here.

Appendix B

Draft Terms of Reference

Standing Working Group on Conservation Management Plans

The Standing Working Group on Conservation Management Plans (the CMP Working Group) is responsible for the provision of advice on the nomination, development and implementation of CMPs endorsed by the International Whaling Commission (IWC).

The CMP Working Group will be comprised primarily of members of the Conservation Committee, but will also include members from the Scientific Committee and members from other IWC bodies as appropriate. The Chair will be elected from Group members and may hold the position for a period of up to four years.

The CMP Working Group will report annually to the IWC through the Conservation Committee.

Conservation Management Plans are intended to be a practical and flexible management tool for the IWC to manage human and cetacean interactions for those populations, threats or habitats of greatest conservation concern and where there is a reasonable expectation that the plan will deliver real conservation gains. The CMP Working Group will support development of comprehensive plans tailored to address the species, habitat or threats of the most pressing need and with the greatest likelihood of success.

Duties of the CMP Working Group may include, but are not limited to:

- Recommending priority cetacean populations, threats or habitats suitable for the preparation of a CMP.
- Providing up-to-date guidelines and templates to support the nomination, development, implementation and monitoring of CMPs.
- Establishing appropriate criteria to assess the merits of proposed CMPs.
- Providing appropriate guidance to proponents of CMPs to support best practice nomination, development and implementation.
- Facilitating provision of data and expert advice from relevant IWC Committees and sub-committees, as appropriate.
- Reporting to the Conservation Committee on the status of existing CMPs.
- Advising the Commission, through the Conservation Committee, on funds or other resources requested to support the nomination, development, or implementation of a CMP.
- Undertaking other activities as directed by the Commission or Conservation Committee.