

### Annex 1 Evaluation Review Matrix

Review area	Question	Sub-question	Indicator(s)	Stakeholders/Sources of data	Data source/collection method
Relevance		1. What are the key sustainable development and conservation issues in the region?		<ul style="list-style-type: none"> <li>• ARO Staff</li> <li>• Partners</li> <li>• Key Regional Agencies (could email issue before interview)</li> <li>• Members (“)</li> </ul>	<ul style="list-style-type: none"> <li>• IUCN Documents</li> <li>• Staff, Partners &amp; Members interviews in person &amp; phone</li> <li>• SWOT Questionnaire to ARO staff</li> <li>• Recent environmental analysis</li> </ul>
	To what extent is the Asia Regional Programme relevant?	2. To what extent is the Asia Regional Programme relevant to the key sustainable development and conservation issues in the region?	Extent of congruence between identified issues and the ARP (stratified by theme (ELG) and country (only subset of countries)—detail for 4 countries visited, additional data from Pakistan, Bangladesh, & Vietnam)	<ul style="list-style-type: none"> <li>• ARO, ELG staff &amp; country coordinators</li> <li>• Partners</li> <li>• Members</li> </ul>	<ul style="list-style-type: none"> <li>• Document analysis</li> <li>• AR strategy planning</li> <li>• interviews (personal &amp; phone)with staff , members &amp; partners</li> <li>• literature review</li> <li>• Analysis by review team</li> </ul>
		3. To what extent is the ARP <i>perceived</i> as relevant to key stakeholders & IUCN Members?	Extent of congruence between stated issues and the Asia Regional Programme	<ul style="list-style-type: none"> <li>• Partners</li> <li>• IUCN Members</li> </ul>	<ul style="list-style-type: none"> <li>• Document analysis</li> <li>• interviews</li> </ul>
		4. To what extent is the Asia Regional Programme relevant to the IUCN Programme and other components of IUCN?	Extent of congruence between the IUCN Programme, components, biennial priorities 2010-11 and the Asia Regional Programme	<ul style="list-style-type: none"> <li>• HQ staff</li> <li>• other Reg Directors</li> <li>• IUCN Commission Chairs &amp; Members</li> </ul>	<ul style="list-style-type: none"> <li>• Document analysis, interviews</li> <li>• Questionnaires with other programme staff outside Asia Region</li> <li>• Pie chart presented at briefing</li> </ul>

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Review area	Question	Sub-question	Indicator(s)	Stakeholders/Sources of data	Data source/collection method
Effectiveness	To what extent is the Asia Regional Programme effectively delivered?	1. How effectively has the Asia Regional Programme & its results been delivered?	Extent and quality of implementation;	<ul style="list-style-type: none"> <li>• ARO Staff</li> <li>• ELG Heads &amp; Coordinators</li> </ul>	<ul style="list-style-type: none"> <li>• Internal monitoring data (aggregated and disaggregated)</li> <li>• interviews</li> </ul>
		2. How effectively has the Asia Regional Programme been able to influence policy in the region and nationally?	Case examples; extent and quality of influence relative to intentions	<ul style="list-style-type: none"> <li>• ELG heads &amp; coordinators</li> <li>• Country Programme coordinators</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring data (aggregated and disaggregated)</li> <li>• Questionnaire requesting examples or case studies</li> </ul>
		3. How effectively does the organizational & financial model aid in the delivery of the Asia Regional Programme?	Factors aiding/ hindering delivery	<ul style="list-style-type: none"> <li>• ARP Staff</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with global and regional staff</li> <li>• SWOT to all staff interviewed</li> </ul>
Potential for growth	What is the potential for growth for IUCN in Asia?	1. In what programmatic areas could IUCN grow in Asia?	New issues, potential niche, potential resources	<ul style="list-style-type: none"> <li>• RD</li> <li>• HQ Staff</li> <li>• ARP staff senior &amp; midlevel</li> <li>• Members &amp; Commission Heads</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews (in person &amp; phone)</li> <li>• SWOT to all staff interviewed</li> </ul>
		2. How could IUCN grow in Asia in terms of geographic scope?	Potential countries, sub-regions, potential resources	<ul style="list-style-type: none"> <li>• RD</li> <li>• HQ Staff</li> <li>• ARP senior &amp; midlevel staff</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews (in person &amp; phone)</li> <li>• Group discussions Best judgement of review team</li> </ul>
		3. In what areas, programmatic or geographic should IUCN scale back in Asia?	Less relevant issues, absence of resources or capacity to deliver; intractable political situations, other indicators	<ul style="list-style-type: none"> <li>• RD</li> <li>• HQ Staff</li> <li>• ARP senior &amp; midlevel staff</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews, financial analysis (particularly of the project pipeline)</li> <li>• Best judgement of review team</li> </ul>

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Review area	Question	Sub-question	Indicator(s)	Stakeholders	Data source/collection method
Organisational model	What is the current organisational model & its strengths & weakness?	How effective are current regional organisational structures (including country groupings, ecosystems and livelihoods groups) in helping deliver the programme?	Span of control for senior managers, effectiveness of management and problem solving, risk, other indicators to be developed	<ul style="list-style-type: none"> <li>• Senior Managers ARO, ELG, CGH &amp; former staff</li> <li>• Country staff</li> </ul>	<ul style="list-style-type: none"> <li>• Previous consultancies</li> <li>• Interviews (in person &amp; phone)</li> <li>• SWOT</li> </ul>
	What is the current financial model & its strengths & weakness?	How effective is the current model in raising funds for regional & country projects/programmes? Does the model produce organisational constraints /conflicts?	Long term trends in funding effectiveness of fundraising costs benefits (income relative to costs)	<ul style="list-style-type: none"> <li>• Senior Managers ARO, ELG &amp; Country, (including financial managers)</li> <li>• HQ staff</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews (in person &amp; phone)</li> <li>• SWOT</li> </ul>
	What is the optimal future organisational model?				<ul style="list-style-type: none"> <li>• Interviews (in person &amp; phone)</li> <li>• SWOT</li> <li>• Synthesis of above</li> <li>• Evaluators best judgement</li> </ul>
		Under growth scenarios (sub-regional model, expansion into select countries), how should the organizational model change?	Span of control for senior managers, effectiveness of fundraising, effectiveness of management and problem solving, costs (income relative to costs), risk, other indicators to be developed	<ul style="list-style-type: none"> <li>• Senior ARO staff</li> <li>• HQ Staff</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews (in person &amp; phone)</li> </ul>

## Annex 2 IUCN Evaluation Review Schedule

Dates	Task	Remarks
08 May (Sat.)	JG arrives Bangkok from Manila 16:45 (TG621) KM arrives Bangkok from Tokyo 21:25 (AC6126)	Taxi from airport (JG to Bless Residence) (KM to Novotel Lotus)
09 May (Sun.)	Document reviews, initial meeting with Kent in the afternoon	
10 May (Mon.)	Briefings at ARO (starting at 09:30) on programme, constituency and operations.	
11 May (Tue.)	Continued briefings at ARO Interviews with regional partners based in Bangkok	IUCN car to be available
12 May (Wed.)	Depart for Beijing TG 614 @ 10:10 Arrive Beijing @ 15:50 (Met by Hao)	IUCN car drop-off Taxi to hotel
13 May (Thu.)	Mission in China	
14 May (Fri.)	Mission in China	
15 May (Sat.)	Depart for Bangkok TG 615 @ 17:05 Arrive Bangkok @ 21:15	Taxi to airport IUCN car pick-up
16 May (Sun.)	Document review	
17 May (Mon.)	Interviews (work from ARO)	IUCN car to be available
18 May (Tue.)	Interviews (work from ARO), incl. Robert Mather (CG1 Head) in the afternoon  Depart for Colombo TG 307 @ 22:10 Arrive Colombo @ 00:01+1	Taxi to hotel
19 May (Wed.)	Mission in Sri Lanka	
20 May (Thu.)	Mission in Sri Lanka	
21 May (Fri.)	Mission in Sri Lanka Depart for airport in the evening	Taxi to airport
22 May (Sat.)	Depart for Bangkok TG 308 @ 01:20 Arrive Bangkok @ 06:15  Rest and document review	Taxi from airport
23 May (Sun.)	Document review and analysis Lunch with Aban (near Novotel time TBD)  Evening meeting for Ken with Nick Pilcher and Randal Glaholt (location TBD)	
24 May (Mon.)	Depart for Vientiane TG 570 @ 11:45 Arrive Vientiane @ 12:55 (Met by Latsamay)  Mission in Lao	IUCN cars for drop-off and pick-up
25 May (Tue.)	Mission in Lao	
26 May (Wed.)	Mission in Lao  Depart for Bangkok TG 571 VTE-BKK 1350-1455	IUCN Vehicle
27 May (Thu.)	Briefing with Asia Regional Director (at ARO between 10:00 – 12:00)	

### Annex 2 IUCN Evaluation Review Schedule

	Resume interviews (pm) - Shah Murad (CR) and Hamid Sarfraz (PC) IUCN Pakistan	
28 May – 06 June	Complete interviews, analyse questionnaires, follow up with IUCN and prepare draft report	
09 June (Mon.)	Present briefing to IUCN senior management and obtain feedback (at ARO)	
08-11 June	Revisions to draft report (submit draft report by 11 June) <b>Submission delayed to 1 July</b>	
1-15 July	Review of Draft Report and comments back to Review Team (by 15 July)	
23 July <b>(Revised from 15 July)</b>	Finalise and submit Asia Strategic Review Report to ARO and HQ	

### Annex 3 List of stakeholders interviewed

#### Persons Interviewed IUCN Related

NAME	DESIGNATION	METHOD OF INTERVIEW
<b>IUCN Asian Regional Office</b>		
1. Ms. Aban Marker Kabraji,	Regional Director	In person
2. Mr. Kent Jingfors	Regional Programme Coordinator	In person
3. Mr. Anshuman Saikia	Deputy RPC	In person
4. Mr. Michael Dougherty	Regional Communications Coordinator	In person
5. Mr. Zakir Hussain	Director, Constituency	In person
6. Ms. Lindsay Mulder	Director of Finance	In person
7. Ms. Rumana Imam	Manager, Regional HR	In person
8. Mr. Riaz Bangash	Manager, Regional Finance	In person
9. Mr. Michael Dougherty	Regional Communications Coordinator	In person
10. Mr. Don Macintosh	Coordinator, MFF Regional Program	In person
11. Mr. Janaka A de Silva	Programme Manager, MFF, Former Programme Coordinator IUCN Thailand	In person
<b>ELG 1 Bangkok</b>		
12. Mr. TP Singh	Group Head & Contact Person India, Indonesia & Thailand	In person
13. Mr. Ganesh Pangare	Coordinator, Regional Water & Wetlands Programme	In person
14. Ms. Shiranee Yasaratne	Coordinator, Regional Business & Biodiversity Programme	In person
15. Ms. Patti Moore	Coordinator, Regional Environmental Law Programme	In person
16. Mr. Peter Neil	Coordinator, Regional Forest Programme & Climate Change	In person
17. Mr. Peter Shadie	Coordinator, Regional Protected Areas Programme	In person
<b>ELG2 Colombo</b>		
18. Mr. Ali Raza Rizvi	Group Head & Coordinator DDR	In person & group discussion
19. Ms. Roshanara De Croos	Group Finance Manager & IUCN SL Finance Manager	In person & group discussion with both ELG & IUCNSL
20. Ms. Maeve Nightingale	Coordinator, Regional Coastal and Marine Programme	In person & group discussion
21. Mr. Raquibul Amin	Regional Coordinator, Ecosystems Management	In person & group discussion
22. Ms. Saima Baig	Coordinator, Regional Environmental Economics Programme	In person & group discussion in SL & Laos
23. Dr. Sriyanie Miththapala	Scientific Consultant	Group discussion
24. Mr. Thushara Ranasinghe	Senior Programme Officer, Regional Environmental Economics Programme	Group discussion
25. Mr. Sanjeewa Lellwela	Programme Officer, Regional Biodiversity and Species Programme	Group discussion
<b>IUCN China</b>		
26. Ms. Zhuang Hao,	Programme Coordinator	Group discussion

**Annex 3 List of stakeholders interviewed**

<b>NAME</b>	<b>DESIGNATION</b>	<b>METHOD OF INTERVIEW</b>
27. Ms. Wei Juan,	Senior Programme Officer China	Group discussion
28. Ms. Li Jia,	Forest Programme Officer China	Group discussion
29. Ms. Lap Li	Communication and Constituency Officer	Group discussion
30. Ms. Beth Carmoron	Australia Youth Ambassador (AYAD)	Group discussion
31. Seth Cook	Former ,China Programme Coordinator	On phone
<b>IUCN Sri Lanka</b>		
32. Dr. Ranjith Mahindapala	Country Representative	In person
33. Mr. Shamen Vidanage	Programme Coordinator	In person & group meeting
34. Mr. Bandula Withanachchi	Head, Human Resources	In person & group meeting
35. Mr. Vimukthi Weeratunga	Head, Biodiversity	In person & group meeting
36. Mr. Kapila Gunaratne	Head, Coastal & Policy	In person & group meeting
37. Ms. Kumi Ekaratne	Senior Programme Officer	In person & group meeting
38. Mr. Akram Mohideen	Senior Administration Officer	Group Discussion
39. Mr. Shantha Gamage	Finance Officer	Group Discussion
40. Mr. Dimuthu Samaratunga	Finance Officer	Group Discussion
41. Ms. Champa Hettige	Administration Officer	Group Discussion
42. Ms. Damayanthi Mangalika	Asst. Finance Officer	Group Discussion
43. Ms. Padmi Meegoda	Executive Secretary, PDU	Group Discussion
44. Ms. Angela Fernando	Secretary	Group Discussion
45. Mr. Dilup Perera	Asst. Programme Officer, Biodiversity	Group Discussion
<b>IUCN Laos</b>		
46. Ms. Latsamay Sylavong	Country Representative	In person & group discussion
47. Mr. Christoph Muziol	Country Programme Coordinator	In person & group discussion
48. Mr. Roger Karlsson	Environmental Governance Coordinator	In person & group discussion
49. Mr. Xiong Tsechalicha	Protected Areas Coordinator	Group Discussion
50. Ms. Charlotte Emily HICKS	Business and Biodiversity Officer	Group Discussion
51. Mr. Fongsamuth Phengphaengsy	Water and Wetlands Coordinator	Group Discussion
52. Mr. Banethom Thepsombath	Programme Officer (MEAs)	Group Discussion
53. Mr. Sittiphone Thapesupanh	HR Officer & Communication Focal Point	Group Discussion
54. Ms. Thatsany Sengphachanh	Executive Secretary	Group Discussion
55. Ms. Latdavanh Keovanxay	Finance Officer	Group Discussion
56. Ms. Vimalay Thongsivanxay	Finance Assistant	Group Discussion
<b>Country Group 1 (Lao, Cambodia &amp; Vietnam)</b>		
57. Mr. Robert Mather	Country Group Head	In person
<b>South Asia Countries</b>		
58. Mr. Shah Murad	Country Representative, Pakistan	In person
59. Mr. Hamid Sarfraz	Country Programme Coordinator, Pakistan	In person
60. Mr. Sarmad Hassan Syed	Group Finance Manager, Pakistan & Nepal	In person
61. Mr. Niaz Amhed Khan	Country Representative, Bangladesh	In person

### Annex 3 List of stakeholders interviewed

NAME	DESIGNATION	METHOD OF INTERVIEW
<b>IUCN HQ</b>		
62. Julia Marton-Lefevre	Director General	Via Skype/Phone
63. Bill Jackson	Deputy Director General	Via Skype/Phone
64. Enrique Lahmann	Director, Constituency Support Group	Via Skype/Phone
65. Mike Davis	Head, Global Finance Unit	Via Skype/Phone
66. Diego Ruiz	Head, Global HR	Via Skype/Phone
67. Juan Marco Alvarez G.	Director - Economy and Environmental Group & Head-Business & Biodiversity Programme	Via Skype/Phone
68. Mr. Carl Gustav Lundin	Head, Global Marine Programme	Via Skype/Phone
<b>IUCN Regions</b>		
69. Mr. Taholo Kami	Regional Director Oceania	In person
70. Mr. Bernard O'Callahan	Regional Programme Coordinator	In person
71. Dr. Grethel Aguilar Rojas	Regional Director Mesoamerica & Caribbean Initiative	Via Skype/Phone
72. Ali A. Kaka	Regional Director, Regional Office for Eastern & Southern Africa	Via email
73. Hans Freiderich	Pan-European Regional Director	Via email



### Annex 3 List of stakeholders interviewed

#### Persons Met Donors, Partners and Members

<b>Donors (6)</b>			
1.	John Warburton	Senior Environment Advisor, DFID, Beijing	On phone
2.	Dr. Anders Granlund	Counsellor & Director, Swedish Environmental Secretariat for Asia (SENSA), Bangkok	In person
3.	Ms Karin Isaksson	First Secretary, Sr Programme Officer, SIDA Bangkok	
4.	Ms. Helena Ahola	Head of Development Cooperation, Embassy of Finland	In person
5.	Ms. Annelies Donners	First Secretary, Development Cooperation, Embassy of the Kingdom of the Netherlands (EKN), Hanoi	Via Skpe/Phone
6.	Mr. Bandula J Hennadige	Senior Programme Officer, EKN, Colombo	In person
<b>Multilaterals &amp; Regional Organisations (7)</b>			
7.	Mr. Andrew Noble	Regional Director, IWMI Southeast and Central Asia, Vientiane	In person
8.	Dr. Dechen Tsering	Deputy Regional Director, UNEP ROAP	Via Skpe/Phone
9.	Martine Krause	Environment & Energy Team Leader, UNDP Regional Centre Bangkok	Via Skpe/Phone
10.	Joseph D'Cruz	Regional Technical Advisor Environment, UNDP	In person
11.	Mr. Jeremy Bird	CEO, Mekong River Commission	In person
12.	Mr. Vitoon Viriyasakulotorn	Technical Coordinator, Mekong River Commission	In person
13.	Mr. Kaviphone Phouthavong	Fisheries Program, Mekong River Commission	In person
<b>International NGOs (4)</b>			
14.	Mr. Marc-Alexander Gross	WWF Greater Mekong	In person
15.	Mr. Michael Rewald	Country Director, CARE Sri Lanka	In person
16.	Mr. Nicholas Osborne	Regional Director, CARE Bangkok	In person
17.	Mr. Jack Hurd	The Nature Conservancy (TNC) Director, Forest Program Asia Pacific Region	In person
<b>Government-Partners</b>			
<b>China 8</b>			
18.	Mr. Su Ming	Deputy Director General Department	International Forestry Cooperation Center
19.	Mr. Hu Yuanhui	Division Chief Department	International Forestry Cooperation Center
20.	Mr. Li Zhong	Chief of Protected Area Management Office, Ecological Conservation Division	State Forestry Administration (SFA)
21.	Mr. Li Rusheng	Deputy Director, Urban Construction Department	Ministry of Housing and Urban Rural Construction (MOC)

### Annex 3 List of stakeholders interviewed

22.	Mr. Zuo Xiaoping	Deputy Director Office of National Park	Ministry of Housing and Urban Rural Construction (MOC)
23.	Dr. Wang Xiaoping	Director General, Beijing Forestry Carbon Administration, Beijing Forestry and Parks Department of International Cooperation, Beijing Forestry Society	In person
24.	Dr. Chen Junqi	Secretary General, Beijing Forestry Society, Deputy Director of Beijing Forestry, Beijing Forestry Society	In person
25.	Dr. Zhi Xin	Carbon Administration, Manager of Sino-German Forest Project, Beijing Forestry Society	In person
<b>Laos</b>			
26.	Khamphanh Nanthavong	Dep. Director General, MAF, Dept Forestry	In person
27.	??	<b>Department of Forest Inspection</b>	In person
28.	Khamphout Phandanouvong	Deputy Director General Department of Forestry Inspection	In person
29.	Dr Viengsavanh Douangsavanh	Water Resources & Environment Administration	In person
30.	Ms. L. Padmini Batuwitige	Additional Secretary (Environment & Policy), MENR	In person
31.	Dr. Silavanh	Director General Department of Forestry <b>May not have meet</b>	In person
32.	<b>Mr. Chanthanet ?</b>	<b>Deputy DG Department of Forestry</b>	In person
33.	<b>Mr. Kongngeun ?</b>	<b>Assistant to DG, Department of Water Resources</b>	In person
34.	<b>Mr. Khampadith ?</b>	<b>Deputy DG, Department of Environment</b>	In person
<b>Sri Lanka (3)</b>			
35.	Ms. L P Batuwitige	Additional Secretary &, Chair, MFF National Steering Committee	Ministry of Environment and Natural Resources
36.	Mr. Ajit Silva	Director, Planning (also Ministry Representative at the National Committee)	Ministry of Environment and Natural Resources
37.	Dr. B M Suren Batagoda	Director General, Public Enterprises Department	The General Treasury, Government of Sri Lanka
<b>Members</b>			
<b>China (11)</b>			
38.	Ms. Wang Yuming	Director, Department of Int'l Cooperation, All-China Environment Federation (ACEF)	In person
39.	Mr. Zhao Daxing	Deputy Secretary General, China Association for NGO Cooperation (CANGO)	In person
40.	Mr. Wang Fengwu	Vice Chairman, China Association of National Parks and Scenic Sites	In person
41.	Mr. Yin Feng	Director, China Wildlife Conservation Association (CWCA)	In person

### Annex 3 List of stakeholders interviewed

42.	Ms. Chun Minli	Project Officer/IUCN Focal Point, Institute of Botany(IOB), China Academia Science (CAS)	In person
43.	Mr. Su Ming	Deputy Director General, Department International Forestry Cooperation Center	In person
44.	Mr. Hu Yuanhui	Division Chief, Department International Forestry Cooperation Center	In person
45.	Mr. Li Zhong	Chief of Protected Area Management Office, Ecological Conservation Division, State Forestry Administration (SFA)	In person
46.	Mr. Li Rusheng	Deputy Director, Urban Construction Department, Ministry of Housing and Urban Rural Construction (MOC)	In person
47.	Mr. Zuo Xiaoping	Deputy Director, Office of National Park, (MOC)	In person
<b>Sri Lanka 9</b>			
48.	Mr. Ananda Wijesooriya	Director General & Outgoing Chair, SL National Committee	Department of Wildlife Conservation
49.	Mr. Sarath Fernando	Incoming Chair, Conservator General of Forests	Forest Department
50.	Ms. Ramani Ellepola	Deputy Director General (Env't Management and Assessment)	Central Environmental Authority
51.	Mr. Ajit Tennakoon		Sewalanka Foundation
52.	Mr. Douglas Ranasinghe		Wildlife and Nature Protection Society
53.	Mr. Ravi Deraniyagala		Wildlife and Nature Protection Society
54.	Dr. Lalith Wikramanayake	Director	Environmental Foundation Ltd.
55.	Mr. Lakshman Nirodhawardena	Director-General	Small Fishers Federation
56.	Mr. Suranjan Kodithuwakku	Chairman	Green Movement of Sri Lanka
<b>Private Sector</b>			
57.	Mr. Rathika de Silva	Sustainable Development, IUCN Sri Lanka Holcim	In person
58.	Mr. Viraj Fernando	Environmental Manager, IUCN Sri Lanka Holcim	In person
59.	Mr. Dilhan Fernando	Marketing Manager, MJF Group, Dilmah, Colombo	In person
60.	Mr. Asanka Abayakoon	Project Manager, Dilmah Conservation, Colombo	In person
<b>Commission &amp; Councillors</b>			
61.	Seong-il KIM	IUCN Councillor, WCPA Asia Vice Chair, Seoul National University	Via Skpe/Phone
62.	Simon Stuart	Chair, SSC, UK	Via Skpe/Phone
63.	Nicholas J Pilcher	Co-Chair, Marine Turtle Specialist Group, SCC	Via email
64.	Mark Halle	European Director, IISD (Geneva)	Via Skpe/Phone

## Annex 4 Examples of Questionnaires

### IUCN –Asia Regional Programme

#### Strategic Review Organisational Questionnaire

In order to aid the review team we will be asking IUCN Asian Regional staff for a variety of inputs, this will include formal presentations, discussions, interviews, and questionnaires. Keeping in line with IUCN guidelines and our own philosophy all inputs are considered confidential, the data when presented will not be ascribed to individuals although it may be disaggregated by staff position (see example below).

The following is an initial questionnaire asking for some of the strengths and weakness of the existing IUCN structure. Please complete and return to the team members either in hard copy or email.

Thank you for your assistance Julian & Kenneth

**Position** (Please check one)

#### **Senior Staff**

ARO Bangkok                      ELG 1                                      ELG 2                                      MFF                                      Country

#### **Middle level**

HQ Bangkok                      ELG 1                                      ELG 2                                      Country

1. List and prioritise five (5) Strengths of the Current IUCN ARP Organisational Model
2. List and prioritise five (5) Weakness of the Current IUCN ARP Organisation Model
3. List and prioritise five (5) Strengths of the Current ARP Financial Model
4. List and prioritise five (5) Weakness of the Current ARP Financial Model
5. List five (5) future opportunities for IUCN
6. List five (5) future threats to IUCN

## Annex 5 Summary of SWOT Questionnaire

### To be completed

#### Analysis of SWOT Questionnaire Sri Lanka IUCN Office

(As the Sri Lanka office seemed in crises we analysed the questionnaire in detail).

**N=8 but not everyone answered all questions**

#### 1. Organisational Model

The strengths of the current organisational structure are that it allows exchange of technical expertise, links to global issues, has a strong presence in Asia, and builds a global culture. It promotes regional sharing and learning and mention was made of encouraging multidisciplinary work and involvement of the private sector.

There was no consensus on weakness but they included top down (2), too much attention to rules & procedures (3), complex structure (1), lack of clear roles & project guidelines (1), lack of support to country needs (2). The concerns are summarised by the following quote "*Day to day management is rigid with structures that attach great importance to procedures and functions, rules & regulations, formalities and control systems. Some of these do not add value but hinder, delay work and demoralize staff.*"

The Sri Lanka office indicate during discussion that they have had little support from the ELGs, although 2 people indicated on the questionnaire that the ELGs contribute to project development but they were competitive (2) and linkages and coordination roles were not clear (1).

The Country Group model has not been applied to Sri Lanka so there were no comments about this structure in the questionnaires.

#### 2. Financial Model

This was a major concern for the SL office. On the strength side it was recognized that the approach was detailed, professional, standardised across countries and allowed transparency.

On the weaknesses the current model forces an opportunistic and project driven approach (5), the ARO policy of not carrying over reserves compounded by the lack of framework funding reduces the incentive for countries to save & benefit from surpluses, this is particularly true for Sri Lanka where previously they have contribute substantial surpluses and are now in deficit. This is summarised in the following quote "*There is no incentive for the country to save for their future survival. The financial model does not allow flexibility to country offices on how to utilize finances to benefit the offices and project outcomes.*"

There were further concerns that the financial model was time consuming (2), procedures confused and unclear (1), policies & procedures cause delays (2), and the IUCN salary structure was not adequate for Sri Lanka conditions (2).

#### 3. Future Opportunities

There was a wide range of suggestions on the future that included: climate change & DDR (3) (including energy efficient green technology (1)), supporting Government institutions in developing management plans (2), involving private sector (2), expansion to eco-tourism (2), integration of livelihoods into conservation (2), site based work in uplands (1) and lowland forests (1), continued biodiversity conservation, species conservation (elephants), invasive alien species, coastal area

## Annex 5 Summary of SWOT Questionnaire

conservation, and restoration. These approaches should involve increased in-country networking and linking with regional and global projects/programmes, and continue to involve education and awareness.

The wide range of suggestions was echoed by our discussion with staff; however, the major lack is of a coherent strategy and action plan on how to move forward.

### 4. Future Threats

The major threat is that of lack of funds for current operations (4), partially due to a decrease in donor environmental funding(4), this is leading to current or potential loss of credibility with government and partners (5), reduced staff capacity (3) and fears the office is about to close (1). This is best summarised *“Sri Lanka has 20 years of program implementation and building credibility now due to funding problems the office is on the verge of closing in three months. If nothing is done by ARO and HQ staff the cost of rebuilding will be immense.”*

As could be expected there is a reduction in morale and high concerns and stress. While this was not clearly expressed by the questionnaire it was the sense we got while visiting the office and talking with staff.

**Annex 6 Recent regional programmes lead by ELGs**

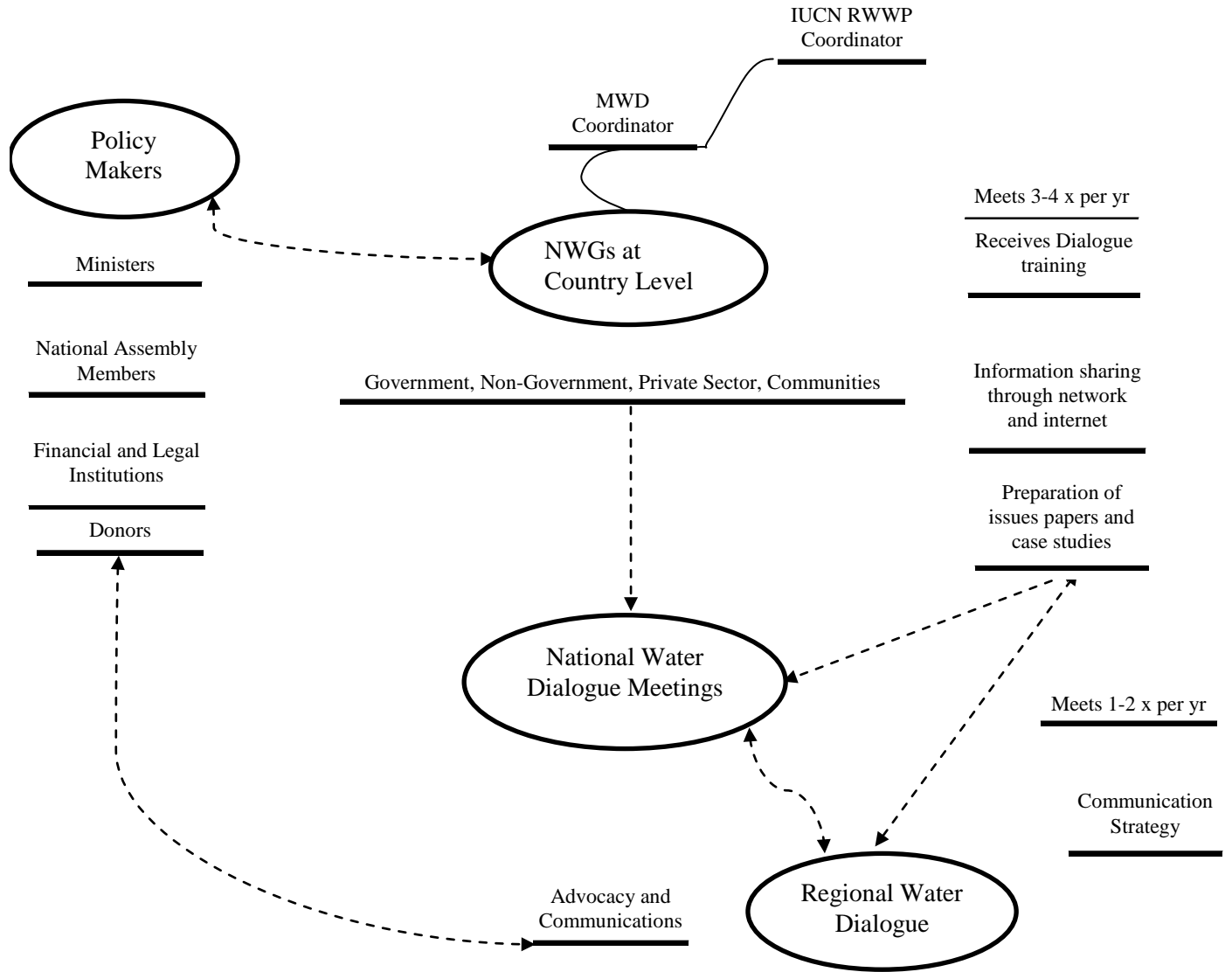
<b>Project Name</b>	<b>Project Size</b>	<b>Lead Responsibility</b>	<b>Country and ELG Coverage</b>	<b>Donor/s</b>	<b>Start Date</b>	<b>End Date</b>
Relief Aid for rehabilitation of coastal ecosystems after the Tsunami disaster, in Sri Lanka, South India, Aceh, Indonesia, Thailand and Malaysia	USD 1, 422, 700	Sri Lanka, Thailand	Sri Lanka, Thailand	Oxfam Novib	1-Mar-05	30-Apr-07
Building capacity to integrate environmental aspects into post-tsunami reconstruction and livelihood restoration in Sri Lanka and Thailand	Euro 346, 000	ELG 2	Thailand, Sri Lanka	BMU - German Federal Ministry for the Environment	1-Oct-05	30-Sep-06
Rehabilitating Coastal Ecosystems in a post-Tsunami Context: Restoration of mangroves in Sri Lanka and Thailand (OAPN)	Euro 214, 500	ELG 2	Sri Lanka, Thailand	OAPN - Spanish Government Agency of National Parks	1-Sep-05	31-Aug-06
Safeguarding Biodiversity for Poverty Reduction in the Mekong Region	USD 550, 000	CG 1 and ELG1	Cambodia, Lao, Vietnam, RPAP, RELPA	ADB	1-Jun-06	31-Dec-07
Rehabilitating coastal ecosystems in a post-tsunami context: Consolidation Phase	Euro 150, 000	ELG 2	Sri Lanka, Thailand	OAPN - Spanish Government Agency of National Parks	1-Jan-07	31-Dec-07
Mangroves for the Future : A strategy for promoting investment in coastal ecosystem conservation (Phase I)	USD 9, 000, 000	RPC	India, Sri Lanka, Thailand, Indonesia, All ELGs	SIDA, NORAD, AUSAID	01-Jan-07	30-Jun-10
Ecologically and socio-economically sound coastal ecosystem rehabilitation and conservation in tsunami-affected countries of the Indian Ocean	Euro 1, 500, 000	ELG 2	Sri Lanka, Thailand	BMZ	1-Jan-07	30-Mar-10

**Annex 6 Recent regional programmes lead by ELGs**

<b>Project Name</b>	<b>Project Size</b>	<b>Lead Responsibility</b>	<b>Country and ELG Coverage</b>	<b>Donor/s</b>	<b>Start Date</b>	<b>End Date</b>
Mekong Region Waters Dialogue: Exploring Water Futures Together	USD 1, 300, 000	RWWP	Cambodia, Lao, Vietnam, Thailand	Finland	31-Jan-08	31-Dec-10
Dialogue for Sustainable Management of Trans-boundary Water Regimes in South Asia: A Bangladesh - India Initiative	USD 6, 817, 134	RWWP	Bangladesh, India	RNE in Bangladesh	1-Mar-10	31-Jul-14
Mangroves for the Future (MFF) Phase II - Sida programme support (to be approved)	USD 7, 500, 000	RPC	India, Indonesia, Sri Lanka, Thailand, Vietnam, Pakistan	SIDA	1-Aug-10	30-Mar-14
Supporting REDD Implementation in Vietnam, Laos and Cambodia Through the Design of a REDD-compliant Benefit Distribution System	USD 92, 500	CG1	Cambodia, Lao, Vietnam	SIDA	1-Dec-09	28-Feb-10



**Annex 7 DIALOGUE PROCESSES (MWD): AN EXAMPLE OF METHODOLOGICAL INNOVATIONS BY IUCN**



## Annex 8 China Legal Agreement

### Status Update on Host Country Agreement (HCA) Negotiations with the Government of China prepared by Patti Moore (April 2010)

China, represented by Ministry of Foreign Affairs (MoFA) joined IUCN as a State member in 1996. There are 11 approved institutional IUCN members in China, working in mainland and Hong Kong SAR. It is expected that another five organizations including three domestic NGOs and two government affiliated NGOs will be approved to become IUCN members in June of this year (2010).

The IUCN China Office was established in Beijing, China in 2003. There are now five permanent staff supporting a number of key initiatives as well as communication and constituency-related tasks within the China Programme.

The China Office has explored several options for legal registration in China and completion of a Host Country Agreement:

1. Register as an NGO which includes three specific types: a). Social Organizations, b). Foundations and c). Civil Non-enterprise Institutions. WWF is currently registered as a foundation which however does not allow it to raise any funds from within China.
2. Register as a “representative office” option. This is also not possible for IUCN under current laws.
3. Pursue with MoFA recognition as an “international organization”.

Since 2003, the China Office has taken the following actions to arrange for legal registration:

- In 2003, a draft HCA was produced by IUCN and provided to MoFA for comments. Between 2003 and 2007, many meetings were held between IUCN and MoFA, and a new draft was formulated in 2006 based on MoFA comments. However, at the time, registration of foreign NGOs/international organizations was not a priority.
- At the end of 2007, SFA offered to serve as the host agency for IUCN in signing a Country Agreement with China. IUCN was pushing for international organization status, but SFA's initial offer was registration as an NGO.
- The draft HCA was revised again in April 2008 based on comments from SFA and from three departments in MoFA. On SFA's advice, this revised draft was translated into Chinese; SFA will forward the translation to MoFA when it is completed to IUCN's satisfaction. *SFA continues to highlight to IUCN the issue of the ambiguity of how to classify IUCN in relation to other international organizations especially given its rather ambiguous status in Switzerland.*
- In late 2008, the China Office identified a British law firm, DLA Piper, whose Beijing office was willing to provide pro bono advice to clarify several issues related to the HCA, including which if any – laws and regulations pertain to organizations like IUCN in China, and what the tax and customs implications of registration would be. The China Office also identified a Chinese law firm, Sapphire Law Firm, to assist in the concrete details of the registration process, on which DLA Piper will not be able to provide assistance. The law firm that handled World Wildlife Fund's (WWF) registration has agreed in principle to provide this service and the process of retaining the firm has begun. NGO and civil organization registration is still a murky enterprise. Few laws governing registration and operations are outdated and currently under review for possible revision.

In a farewell meeting for Seth hosted by SFA on 25 August 2008, Director Su Ming mentioned that the international status IUCN is seeking requires discussion within the Chinese system, and that it will likely take time so we must be patient.

## Annex 8 China Legal Agreement

A meeting was held with a lawyer, Mr. Xiao Zhenyu, from Sapphire Law Firm on Oct. 28th 2008 seeking possibilities for IUCN to register in China as an International Organization. Besides, other options have also been also considered:

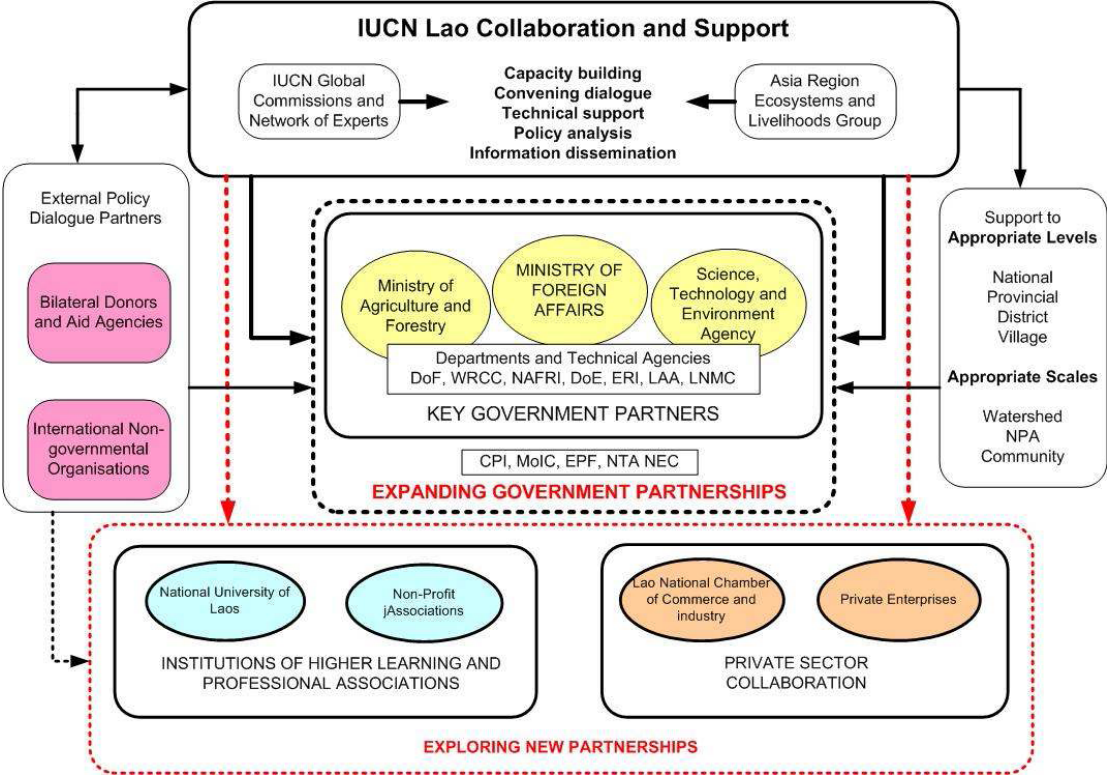
- Registration as a foundation, which WWF successfully achieved, was considered, but IUCN does not fall into this category. Regulations for foundations were issued in 2004;
- For international organization status, Mr. Xiao implied that only the Ministry of Foreign Affairs has approval authority. Also, one of the most important criteria considered during a review of IUCN for such status would be the “contribution” of the organization to the Chinese Government. It would be very difficult for IUCN to obtain this kind of status and the main reason is that the Chinese government is extremely reluctant to grant this status to any organizations outside of UN. The one exception heard by now is the Red Cross, which has been granted international organization status, after a long and tough negotiation process and INBAR who agreed to set up their international HQ in China.
- WWF is the only organization that is officially registered with Chinese local authority, as foundation (under Civil Affair Bureau).

During follow-up correspondence, the lawyer told us that the registration as a representative office of IUCN in China also could not work out, due to the limits of existing legislation. Representative offices are restricted to performing “liaison” activities, and are prohibited from any moneymaking activity in China. Both the Bureau of Commerce and Industry and Civil Affair Bureau were contacted to confirm this.

On Oct. 29th, 2008 Dr. Su Ming and Mr. Hu from State Forestry Administration confirmed that: The revised version of the country agreement (both English and Chinese) was submitted to SFA asking for additional comments. Once the revision is finalized with comments from SFA, the final version will need to be submitted to MoFA. During the China Committee Meeting held June 3rd 2009, SFA confirmed again their willingness to be IUCN's focal point in China, to support IUCN to get legal status as an NGO.

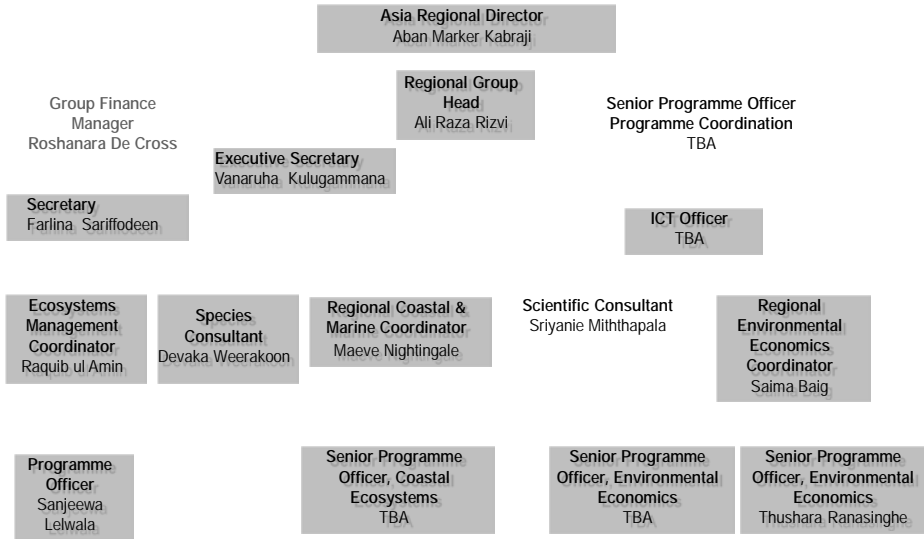
*Reviewers comments:* Consultations continued in May 2010, including developing an approach to the State Council through the assistance of Maurice Strong.

# Annex 9 Diagram of Strategic Planning in Laos

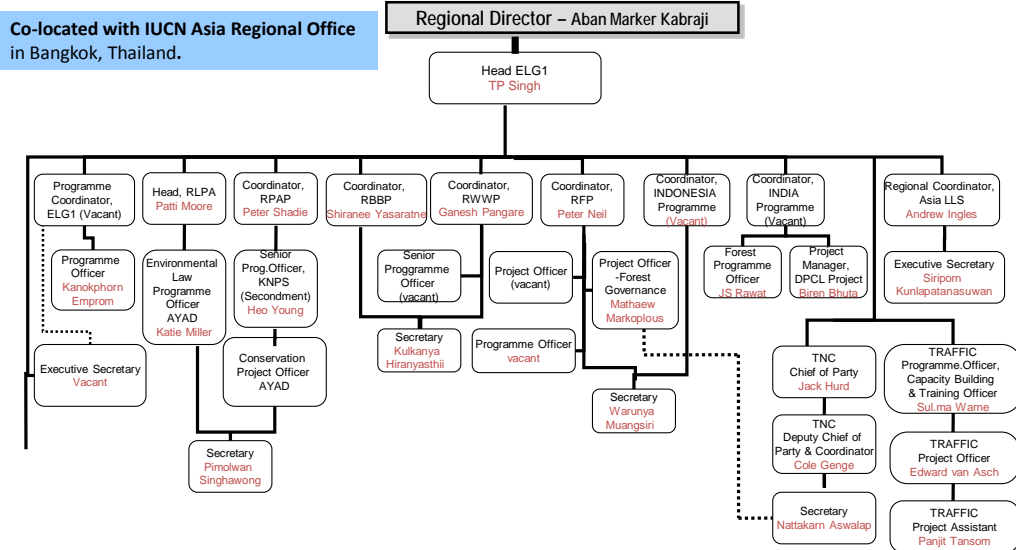


# Annex 10 Organograms ELG 1 & ELG 2

## ELG-2 Colombo



## Ecosystems and Livelihoods Group 1



## Annex 11 Involvement with Private Sector: Lessons learned Dhamra Port

Dhamra Port is being developed in Orissa State on the east coast of India and will be the largest deep water port in India. It is located within 15 km of the mass nesting site for the Olive Ridley Turtle (Vulnerable) and adjacent to a national protected area.

IUCN has been working since 2007 with the Dhamra Port Company Ltd (DPCL) and particularly with the partner Tata Steel (who have a positive reputation of being corporately responsible) as part of its regional Business and Biodiversity Programme to minimise and mitigate the impacts of the Dhamra Port project on the immediate coastal environment, particularly marine turtles, and advise on methods to compensate or offset any residual impact that cannot be avoided or reasonably mitigated. This project was discussed and approved by the IUCN Indian Members committee and adhered to the IUCN operational guidelines for engagement with the private sector. The mitigation measures were led by a co-chair of the Marine Turtle SSC Specialist Group.

Successful measures have been implemented by DPCL including;

- Turtle deflectors fitted to dredgers that were operating;
- Installation of turtle friendly port lights that do not attract hatching turtles;
- A detailed environmental management plan is currently under development for the port.

There has been recent successful mass nesting of the turtles and successful emergence of hatchlings, although not directly attributable to the mitigation measures. There have been positive influences on Tata who have implemented other environmental friendly practices in other sites.

There has, however, been considerable controversy about IUCN and the Marine Turtle SSC involvement particularly from the marine turtle community, including Indian NGOs, some IUCN India members, and Indian and International members of the Marine Turtle SSC Specialist Group. The Marine Turtle Newsletter in its editorial (MTN 121 July 2008) stated: *The Dhamra Port development in Orissa, India, has been characterised by conflict. The tension exists not only between developers and environmental groups, but also among local and international environmental organisations and individual experts around differing approaches, processes, and uses of information. For more than a year, the issues surrounding the Dhamra Port development have sparked passionate and sometimes vehement discussion on email listservs and during the Marine Turtle Specialist Group (MTSG) meeting at the International Sea Turtle Society's annual symposium.*

The MTN then followed up with 13 editorials, letters and articles presenting all sides of the argument. The issue was then readdressed with two editorials in the April 2009 (MTN 124) issue followed up with an editorial in the October 2009 (MTN 126) issue *The IUCN'S New Clothes: An Update on the Dhamra – Turtle Saga* co-authored by Indian and international IUCN members and commission members who challenge IUCN's approach to business partnerships. The issue of Dhamra has continued and there was further discussion at the recent ISTS meeting in Goa, India April 2010.

The reviewers accept that in order to make changes in global business practices you can not only work with the Green thinking Industries (i.e. Dilmah and Six Senses) and must work with the brown industries with a large ecological footprint.

This issue has challenged IUCN's credibility not just in India but globally. It is therefore, important to learn from the lessons learned to assist in future involvement in working with the private sector.

Clearly IUCN has to express caution when engaging the private sector on major environmental issues and the new *Operational Guidelines for Private Sector Engagement February 2009* should assist greatly in this. Some of the lessons from Dhamra are:

- beware of mine fields (the Dhamra Port had a number of these) and develop strategies to address these;
- proceed with caution;
- ensure adequate consultation with members and other stakeholders; and ensure transparency, sensitivity and effective communications (this was not done in the early days of the Dhamra).

## Annex 12 Recent List of Proposals and projects

### Programme Development Analysis for ARD Meeting

Project	A/B	Donor	Date of inclusion in ABC List	Size (USD)	Internal Lead	Comments/Update
Supporting REDD Implementation in Vietnam, Laos and Cambodia Through the Design of a REDD-compliant Benefit Distribution System	B2481	SIDA SENSA	30-Dec-09	92,500	CG-1 Coordination	The project has since then been converted to C
IUCN-DPCL Partnership Phase II: Building on an Effective Sustainable Environmental Alliance	B2482	DPCL	13-Jan-10	399,375	IUCN India	The project has since been converted to C
Access and Benefit Sharing of Genetic Resources in Ecosystems	A2230	USAID	15-Jan-10	250,000	IUCN Indonesia	No news of further progression
One Stop Service: Facilitating conservation of medicinal plants and traditional health service to ethnic communities of Chittagong hill tracts (CHT ) Bangladesh 3rd Phase	B2483	KNCF	19-Jan-10	67,720	IUCN Bangladesh	The project has since then been converted to C
Rapid Biodiversity Appraisal for Huaxin Cement Co.,	A2231	Huaxin Cement	20-Jan-10	13,940	IUCN China	The project quickly progressed to B and since then has been converted to C
Children in conservation: Reducing HEC through awareness and education	A2232	DEFRA	20-Jan-10	16,000	IUCN Bangladesh	No further news on the progression or status
Biodiversity Conservation: Enhancing Role of Women and Children through Education and Awareness	A2233	Holcim Bangladesh	22-Jan-10	20,110	IUCN Bangladesh	No further news on the progression or status
Linking Biodiversity with Livelihood of Chippotkahali Coastal Area	A2234	CARE Bangladesh	23-Jan-10	15,000	IUCN Bangladesh	No further news on the progression or status
Environmental Education Project in Selected Schools of Tanguar Haor: A Ramsar Site in Bangladesh	B2484	Ramsar Secretariat	23-Jan-10	9,999	IUCN Bangladesh	No further news on the progression or status
Anduki Forest Reserve in Brunei	A2235	Shell Brunei	25-Jan-10	50,600	ELG1 (RPAP)	No further news on the progression or status

### Annex 12 Recent List of Proposals and projects

Fostering sustainable local economic development through pro-poor nature tourism in the Greater Mekong Subregion	A2236	EC	25-Jan-10	3,821,818	ELG1 (RPAP)	The proposal has subsequently been submitted. RPAP still to submit B appraisal form for inclusion in the B List
Socioeconomic Monitoring Guidelines for Coastal Managers of South Asia: Field trials and baseline surveys	A2237	NOAA	28-Jan-10	40,000	ELG2 (RCMP)	No further news on the progression or status
Increased awareness of the human elephant conflict in Asia	A2238	Alexander Abraham Foundation	28-Jan-10	50,000	ELG2	No further news on the progression or status
A Regional Ecosystems Services based initiative for Poverty Alleviation in South Asia	A2239	DFID ESPA	28-Jan-10	75,000	ELG2 (REEP)	Not successful as HQ did not shortlist for proposal submission
Developing partnerships for Ecosystems Services and Poverty Alleviation in China	A2240	DFID ESPA	28-Jan-10	75,000	ELG2 (REEP)	A proposal has since been submitted and B number not as yet sought by ELG-2
Ecosystems Services and Poverty Alleviation in China	A2241	DFID ESPA	28-Jan-10	325,000	ELG2 (REEP)	Not successful as HQ did not shortlist for proposal submission
Ecosystems Services and Poverty Alleviation in South Asia	A2242	DFID ESPA	28-Jan-10	325,000	ELG2 (REEP)	A proposal has since been submitted and B number not as yet sought by ELG-2
Establishment of the Murree Protected Landscape	B2485	Government of Punjab	28-Jan-10	941,184	IUCN Pakistan	The project has since been converted to C
Exploring the agriculture-ecosystem-food security nexus	B2486	EC	28-Jan-10	3,333,174	ELG2	No further news on the progression or status
Water Matters, Borders Don't : Mekong Region Water Dialogues, Phase Two	B2487	Government of Finland	28-Jan-10	3,073,702	ELG1 (RWWP)	Phase 2 proposal for MWD submitted but donor to assess it subsequent to MTR of MWD Phase 1
Building Resilience to Climate Change Impacts - Coastal Southeast Asia	A2243	EC	03-Feb-10	4,056,500	ELG1 (RFP)	Proposal has since been submitted to donor and RPC in the process of assigning B number
Building capacity of youth leaders and women to incorporate environmental safeguards into disaster management.	B2488	Commonwealth Foundation	05-Feb-10	32,500	ELG2	The project has since been converted to C
MFF SIDA Phase 2	B2489	SIDA	08-Feb-10	7,000,000	RPC	Donor to inform IUCN in May 2010
Jeju-Climate Change Technical Programme	B2490	Government of Korea	11-Feb-10	400,000	ELG1 (RPAP)	No further news on the progression or status



### Annex 12 Recent List of Proposals and projects

Enhancing Environmental and Biodiversity Management of Holcim Indonesia	B2491	Holcim Indonesia	12-Feb-10	19,500	IUCN Indonesia	No further news on the progression or status
Baseline Assessment of Economic, Social and Environmental Costs and Benefits of Investment in Savannakhet and Saravan, Lao PDR, and Elaboration of Policy and Technical Briefs	B2492	UNDP Poverty Environment Initiative	12-Feb-10	69,069	IUCN Lao	In the process of being converted to C
Field work to support the development of a National Gibbon Conservation Action Plan for Lao PDR	B2493	Rufford Maurice Laing Foundation	12-Feb-10	11,462	IUCN Lao	No further news on the progression or status
Preparation of Coffee table book on selected threatened species of Sri Lanka	B2494	Standard Chartered Bank	16-Feb-10	26,500	IUCN Sri Lanka	No further news on the progression or status
Promoting Best Practices for Ecologically Sustainable Renewable Energy in Rural Southern China	A2244	Rockefeller Brother Foundation	29-Mar-10	139,150	IUCN China	
<b><i>Projects still to be included in the ABC List</i></b>						
BMZ Phase-2		BMZ		4,200,000	ELG2 (RCMP)	Still to submit appraisal form for proposal
ICM Proposal for East Timor		AUSAID		1,000,000	ELG2 (RCMP)	Still to submit appraisal form for proposal
Leveraging NRM for Sustainable Economic Development of Communities in Khyber Pakhtunkhwa and Balochistan		USAID		33,000,000	IUCN Pakistan	Still to submit appraisal form for concept
Enhancing media's capacity for sustainable development		USAID		2,000,000	IUCN Pakistan	Still to submit appraisal form for concept
IFAD-BPSD collaboration		IFAD		8,000,000	IUCN Pakistan	At a very early stage and appraisal form to be only submitted during the process of concept development
Restoration of Beijing suburb wetland		Mitsui Environmental Fund, China		300,000	IUCN China	Proposal in the process of being submitted and still to be submit appraisal form
FLEGT Proposal		EC			FCP	The proposal is a global proposal and includes Lao and Vietnam in Asia and has been submitted to

**Annex 12 Recent List of Proposals and projects**

						the EC ENRTP call
Species of the Day		Dilmah Conservation			RBBP	This proposal has recently been developed with Dilmah already evincing interest in funding the programme development phase
Tentative List of World Heritage Sites in China		Ministry of Construction			IUCN China and RPAP	Proposal to be submitted soon for workshops to be held and funded by the Government which was evinced considerable interest
Management Effectiveness Evaluation of World Heritage Sites in China		Ministry of Construction			IUCN China and RPAP	Proposal to be submitted soon for workshops to be held and funded by the Government which was evinced considerable interest
Customary Rights and Natural Resource Management		DFID ESPA			RELPA	IUCN Asia countries do not feature as not able to meet eligibility criteria. RELPA to have coordination role in this project and obtain staff time. Submitted as a proposal to DFID ESPA
Consulting Service for Wetland Biodiversity Project in China		GTZ			IUCN China	In the process of submitting proposal jointly with DFS, a German consulting firm. The proposal has built in RWWP Coordinator and Lao PC as technical experts

## Annex 13 Example of Strategic Planning in Laos

