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**IUCN – The World Conservation Union**

**External Review**

**October, 2003.**

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## **Preface**

An External Review of IUCN is an arduous but fascinating task. Like External Review teams before us, we have been able to see only a fraction of the Union and its work, but still feel almost overwhelmed by the complexity of the organisation, the ambition of its vision, the scope of its Programme and the commitment of its community of Members, Commission specialists and Secretariat staff. We are happy to find IUCN in better health and in better heart than it was at the time of the last Review in 1999. But the challenges before it are immense. The Union must move fast and decisively if it is to maintain its leading contribution to human and ecosystem well-being and achieve more in its second half century than it did in its first.

Another experience we have shared with previous External Review teams has been the hospitality of the IUCN family around the world, and the sincerity with which they have been willing to engage with the review process. Special thanks go to our hosts in Nairobi, San Jose and Bangkok.

As we note in this report, the process of such a study can sometimes be at least as valuable as the final product. We commend IUCN Members, Commissions and the Secretariat for their active participation in this exercise, and trust that they found our many debates together as helpful as we did.

We are grateful to all these people, and to the many other partners, donors and informants whom we met, for the time, ideas and information that they contributed to this review. We hope that this report will be a useful input to the Union's discussions and decisions before, during and beyond the 2004 World Conservation Congress.

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## Abbreviations

3I-C	Innovation, Integration, Information and Communication
ARO	Asia Regional Office
CBD	Convention on Biological Diversity
CCAD	Comisión Centroamericana de Ambiente y Desarrollo
CEESP	Commission on Environmental, Economic and Social Policy
CEL	Commission on Environmental Law
CEO	Chief Executive Office
CHF	Swiss Francs
CITES	Convention on International Trade in Endangered Species
COP	Conference of the Parties
CSD	Commission for Sustainable Development
EARO	Eastern Africa Regional Office
ECOSOC	Economic and Social Council of the United Nations
ER	External Review
EU	European Union
GBF	Global Biodiversity Forum
GBP	Global Biodiversity Project
GTF	Governance Task Force
IIED	International Institute for Environment and Development
KEG	knowledge, empowerment and governance
KEGO	knowledge, empowerment, governance and operations
KRA	Key Results Area
M&E	monitoring and evaluation
MEA	multilateral environmental agreement
nd	not dated
NEPAD	New Partnership for Africa's Development
NGO	non-governmental organisation
NORAD	Norwegian Agency for International Development
OECD	Organisation for Economic Co-operation and Development
ORMA	Oficina Regional para Meso América
PAC	Project Approval Committee
PBIA	Policy, Biodiversity and International Agreements
PIMS	Programme Information Management System
PM&E	project monitoring and evaluation
PPET	Programme Planning and Evaluation Team
PRSP	Poverty Reduction Strategy Paper
Q	question
R&D	regionalisation and decentralisation
REDNA	National Network
RoE	Regional Office for Europe
ROSA	Regional Office for Southern Africa
SDC	Swiss Development Corporation
SIDA	Swedish International Development Authority
SSC	Species Survival Commission
SUR	Oficina Regional para América del Sur
TOR	terms of reference
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
WBCSD	World Business Council for Sustainable Development
WCC	World Conservation Congress
WCD	World Commission on Dams
WCPA	World Commission on Protected Areas
WSSD	World Summit on Sustainable Development
WWF	World Wide Fund for Nature

## Summary

The 2003 External Review of IUCN was asked to assess the performance of the Union's Programme; the strategic relevance of IUCN in the broader sustainable development context; the progress made in strengthening governance, organisational and operational systems; and the financial viability of the organisation. This report addresses all these issues and offers an overall strategic review of the Union's performance and prospects. This summary does not offer a systematic outline of all the report's contents. Instead, it focuses on the strategic issues that we believe are most important for the Union's future.

As a strategic review, this report offers recommendations about steps IUCN should take (see Table 1 on page ix). But it does not aim to be prescriptive. It is not a blueprint. It tries to raise ideas, options and implications. It tries to stimulate debate. Indeed, the External Review process was built to be participatory and open. IUCN responded positively. We believe that the process of the last few months' enquiry and debate may have been at least as valuable as this final report.

IUCN has been an innovative and dynamic organisation through much of its 55-year history. The last two decades have seen rapid growth, substantial achievements and a series of change processes that have helped the Union to adjust to new challenges and an evolving world scene. During that period it has made major contributions to the principles and practice of sustainable development and environmental governance without forsaking its heartland concern with nature conservation. It has expanded its work and its Membership to many new parts of the world, and in particular to developing countries.

IUCN today is a well-established global Union of states, organisations and professionals that plays an invaluable role in the conservation of the earth's resources and the sustainable development of people's livelihoods. Like all other complex organisations, it has its problems and challenges. But these are more than compensated by its strong past performance and its promising potential. To help tackle the problems and challenges while affirming the character, assets and potential of the Union has been the most important and most rewarding task of this External Review.

Since 1993, the Union and its major donors have commissioned periodic External Reviews for an overall analysis of its condition and performance. The most recent ER, in 1999, took place at a difficult time in the Union's history. It identified three areas of urgent concern. One was the then IUCN Programme and the way a new one was being prepared for submission to the 2000 World Conservation Congress. The ER found that the 1997-1999 Programme, and the planning process, were seriously flawed. We find in 2003 that the current Programme, and the consultative processes to prepare its successor, are a major strength of the Union. A second area of concern was the coherence and quality of IUCN's knowledge management, and the role of the Commissions in that process. We find four years later that some progress has been made with regard to knowledge management, although IUCN acknowledges that more needs to be done. Positive steps have been taken with regard to Commissions' role in the Programme, as well as their governance. The overall governance of the Union was the third major problem area identified in 1999, and the problems became more apparent at the World Congress in 2000. IUCN reacted in 2001 with a Governance Task Force. This ER finds that the Task Force has made several sound recommendations that now await approval by Council and the Congress.

IUCN has thus worked proactively over the last four years to tackle the major issues identified by the 1999 ER, as well as the many other challenges with which it is constantly confronted. Overall, we are happy to report that IUCN is in better health and in better heart than it was at the time of the last External Review in 1999. The Union continues to do more and achieve more than would seem possible with the resources at its disposal. Through the commitment and expertise of its Secretariat, Commissions and Members, IUCN has continued to build its reputation as a strong and capable contributor to sustainable development, from the forums of international environmental governance to the fields and forests of natural resource users. Funds invested in IUCN yield very positive returns. Examples in recent years include the Union's role in building and now implementing the Convention on Biological Diversity; its continuing development of knowledge about nature and its conservation; the way it builds capacity through its Membership, Commissions and

many partnerships; and the way it builds awareness and action, as through its strong performance at the 2002 World Summit on Sustainable Development.

The programming crisis of 1999 is history now. The quality of IUCN's current Intersessional Programme is a major reason for the Union's stronger performance. The Programme has given better structure and focus to the organisation's work. Preliminary signs are that these qualities will be enhanced in the next Programme. Overall, the Programme has provided a stable and conceptually compelling framework for pursuing the Union's mission, although the framework is still more permissive than directive and achievements at overall global level now need to be followed through at the level of component thematic and regional programmes. Scope and support have been provided for innovation. Good progress has been made with monitoring and evaluation, although the function continues to be under resourced. More is needed if IUCN is to achieve its intended quality as a learning organisation that understands the outcomes and impacts of its work.

Since 1999, the Secretariat has launched innovation in several aspects of knowledge management. The current Programme has helped IUCN to develop the concept. Progress remains incomplete, however, and a new study of the issue was recently commissioned. We hope that this study can be completed in time for the next Congress, and that it will be integrated with the Secretariat's proposals for an upgrade of its electronic knowledge services. The Commissions make many vital and valuable contributions to the Programme, with which their activities have now been formally integrated. Some problems of quality and co-ordination remain, and Commissions are constantly challenged by scientific and institutional developments in their various fields. Overall, however, the role of the Commissions within the Union has been consolidated, and the knowledge management issues identified by the 1999 ER are receiving active attention.

Like many organisations, IUCN does not function in exactly the way a reading of its constitution might suggest. Members are not as central to implementation of the Programme as the Regulations imply they should be. Does this matter? IUCN performs well with the limited direct inputs that Members make. There is no doubting the broader commitment of Members to the Union's vision and mission. The Secretariat is making increasing and fruitful efforts to involve Members more in formulating and delivering the Programme. Despite these strengths, IUCN will only achieve truly global impact in an increasingly globalised world if it marshals the enormous capacity of its Members more explicitly and effectively into execution of its Programme. Where Members are already strong and well resourced, this capacity should be deployed to extend the coverage and impact of the Programme. Where Members are fewer and weaker and the Secretariat's presence through country and regional offices is stronger, the Union needs a long term logic that builds Member capacity and leads ultimately to a more supportive, background role for the Secretariat. These strategies are necessary for IUCN to sustain and build its credibility and increase its impact, which remains limited in many parts of the world.

IUCN has come a long way with a predominantly entrepreneurial mode of management of its Secretariat. Opportunities were seized, and quality work was done. But the development has been fragmented and uneven. As the Union grows more sophisticated, it needs stronger, more consistent, more strategic management. The Council must rebuild itself in order to give the necessary strategic direction. The Director General, as Chief Executive of the Union, should consider transforming the Executive Management Group from a basically operational advisory body into a strategic management team.

Regionalisation and decentralisation have transformed the Secretariat over the last 20 years. They have created strengths and challenges for the Union. Reviews of the process have so far been inconclusive. Some diversity in organisational structures and systems is a necessary strength. But it must be guided by a strategic consistency that is currently lacking in IUCN. That strategy should be more explicit about how and why the Secretariat builds, operates and reduces or withdraws its presence in regions and countries. It should rationalise governance structures and relations at regional and national levels. It should provide financial models for funding regional and country roles in the design and execution of the Programme. It should provide a rationale for the role, size and location of Headquarters functions in the Secretariat.

This strategy needs to link to a strategy for the growth of the Union. Over the last 20 years, that growth has been most marked in the Secretariat. Growth is one of the most natural characteristics of a successful organisation. IUCN is successful. It faces enormous challenges in pursuing its mission. The question is not



whether it should grow, but how. Concentration on continued rapid expansion of the Secretariat would be financially risky and would increasingly contradict the character of the Union. Other, not mutually exclusive, growth strategies could be Membership-driven growth; partnership-driven growth; and multi-centre growth. The Union should be clear about how it intends to grow.

Designing appropriate governance for this uniquely complex organisation, and making it work, remain a challenge. At the heart of this challenge, and a core strength of the Union, is the democratic nature of this governance by institutions that represent its Members. The Governance Task Force appointed by Council in 2001 has made important progress. The External Review has not tried to duplicate its efforts. Instead, we offer some comments. We strongly support the message of the Task Force to Council: real reform is now essential to maintain the credibility and performance of the Union. We endorse the Recommendations of the Task Force regarding the operations of the Congress and the governance of the Commissions. We also underline its recommendations for a more clearly empowered Bureau within Council, to make governance more efficient and effective. The Task Force is working carefully to determine the best way to adjust the definition of the IUCN Regions and to systematise governance at regional level. We endorse these efforts. We believe that stronger and better formalised regional governance – balanced with the global character and responsibilities of Membership - is in the interest of the Union, and should be the subject of a full-scale trial in a selected Region. Overall, IUCN is close to resolving the governance problems identified by the ER in 1999. Council and the Congress must now act to endorse and execute the recommendations of the Task Force.

IUCN is well managed financially and has enhanced its financial stability. But it has to live with chronic instability in its funding. Partly this is because short term project finance is so great a part of the total budget. In many parts of the Secretariat, the internal, self-justifying imperatives of the ‘project machine’ are more compelling drivers of what is planned, budgeted and done than the Union’s Programme. IUCN needs strategic clarity about its business model. Does it exist to pursue its mission through whatever project funding it can obtain, rationalising these activities through the conceptually powerful but operationally permissive framework of the Programme? Or does it use the Programme to drive and direct its funding arrangements? We believe that the latter is the only viable strategy for the future of IUCN. But it means that the Union and those who support it must agree a broader range of framework funding arrangements at country, regional and global levels. We can assure IUCN that many funding agencies are ready to do this, and that framework funding at country and regional level will not necessarily endanger such funding at global level. We can assure funding agencies of our confidence that IUCN can use framework funding responsibly and effectively. Consequently, our recommendations do not focus only on existing donors increasing their global framework funding: rather, on framework funding being more widely used at all levels of IUCN operations.

For many years IUCN has depended heavily on development funding agencies. It is important to widen its funding base. Many Ministries such as Finance, Environment, Natural Resources, Agriculture and Infrastructure share some of IUCN’s concerns and would be prepared to support its work. It is an important task for the Council and the Director General – but also for the current donor agencies – to engage such Ministries and their institutions as partners for the Union.

IUCN has made strong progress since the 1999 External Review. It makes a globally respected contribution to international environmental governance and the promotion of sustainable development. The first of the three most urgent issues identified by the 1999 review, the Programme, has been transformed from a weakness to a strength. The second, knowledge management, is being addressed, but remains a work in progress. Thirdly, The Union has tackled its governance issues seriously. Now is the time for it to address two further, fundamental strategic issues: its character as a regionally structured, global membership organisation; and ways to drive and resource its work through its Programme.

IUCN could not have made progress without the sustained and visionary support of its donors. We hope that this 2003 External Review will strengthen the basis for continued trustful co-operation between the Union and its supporters.

**Table 1. Summary list of recommendations**

This table lists the recommendations made in the report. It is important to read these recommendations in the context of the External Review's overall discussion. The table therefore shows the pages on which each recommendation can be found, so that the explanatory discussion can be located easily. Recommendation numbers refer to the chapters of the report in which they are presented.

<b>Recommendation no.</b>		<b>Page no.</b>
3.1	IUCN should aim to achieve effective knowledge management, rather than just information management, through its 2005-2008 Intersessional Programme. To this end, IUCN should expedite its forthcoming review of knowledge management so that its findings can be reported to the next Congress and fully used in the 2005-2008 Programme.	20
3.2	In order to give greater emphasis to evaluation, reflection and learning in all its Programme and component programme activities, the Union should commit adequate and sustained resources to complete and consolidate its recent impressive achievements in building monitoring and evaluation systems and capacity.	24
3.3	To achieve stronger focus and co-ordinated impact in pursuit of its mission, IUCN should apply a Programme resourcing strategy that focuses on medium-term framework funding at global, regional and country levels, and adjust its design, management and M&E capacities accordingly. IUCN's donors should treat this as a new and better opportunity to work more systematically towards their own objectives and those of the Union's Programme.	26
3.4	IUCN should give careful consideration to strategies that will enhance its global coverage and pursuit of its mission through more central involvement of Members in the Programme, where Member capacity and commitment permit.	29
3.5	IUCN should continue to strengthen the focus, management and delivery of the Programme by turning now to enhanced and more consistent management of the component thematic and regional programmes. This requires strong and strategic leadership by the global Programme office, the PPG and its Executive, and the PPET.	30
3.6	Before the next Intersessional Programme begins, IUCN should take stock of the strategies adopted by its Senior Advisers on socio-economic issues. It should refine, consolidate and to the extent appropriate harmonise these strategies, and specify M&E arrangements for them. Starting in 2004, IUCN should ensure that adequate budgets are available to these Senior Advisers and decide a strategy for more effective decentralised management of the global components of the Programme and the cross-cutting advisory services.	31
4.1	The Council should rebuild itself in order to give strategic direction to the executive management of the Union.	34
4.2	The Director General should examine his role in the context of his duties as Chief Executive of the Union, responsible for the overall execution of the Union's Programme and not only head of the Secretariat.	34
4.3	The Director General should consider transforming the Executive Management Group from a basically operational advisory body into a strategic management team.	34
4.4	A review of the structure, management and leadership of the Corporate Strategy Group should be undertaken.	36
4.5	The further deepening of regionalisation and decentralisation in the Union – whatever form the process may take – should focus on three areas: strategies for developing and transforming the regions and IUCN's country level presence to comply with the Union's mission; possible governance structures and relations at regional and national levels; and financial models for funding the regional role in the design and execution of the IUCN Programme.	37
4.6	IUCN should review the positioning, capacity and strategic competence of the Membership Relationship Unit at headquarters so that this Unit can guide Members and	37

Recommendation no.		Page no.
	the rest of the Union towards a stronger role for Members in Programme implementation and regional governance.	
4.7	The Director General should seriously consider how to achieve a more appropriate gender balance in the top management of the Secretariat.	38
4.8	The Council and the Director General and his team should explicitly assess, determine and justify a long-term growth strategy for the Union. They should ensure that this strategy is efficiently elaborated and executed by the management of the Secretariat at all levels.	39
5.1	The Council, the President and the Director General should take their full responsibility to exercise the necessary leadership before and during the 2004 World Conservation Congress to ensure adoption of the main reform proposals of the Governance Task Force.	41
5.2	The Governance Task Force should take into consideration the comments in section 5.4 of this report in its further work and refinement of its proposals for reform of the Council.	42
5.3	The Governance Task Force should complete its work with a thorough assessment of possible regional governance functions, roles and relations, including procedures and the related cost implications.	42
5.4	The Council should consider a full-scale trial of a regional governance system. Such a trial should guide the further development of the statutory functions and procedures, forms and structures, <i>modus operandi</i> , relations to National Committees and the IUCN Council, relations to the Director General and the Secretariat, administrative and financial implications, etc. One programme region, e.g. Meso America, should be considered as the site of this trial. Such a trial should combine membership inputs and a professional consultancy for design of the most suitable system.	42
5.5	The recommendations of the Governance Task Force on Commissions should be fully implemented in practice and should not meet the same fate as the earlier Sonloup Accords of 1995 and 1998 on enhancing synergy between Commissions and the rest of the Union.	44
5.6	The External Review: <ul style="list-style-type: none"> <li>• endorses the proposals made to the Council by the Governance Task Force. The GTF and the Council should consider the comments and suggestions made by the ER on governance issues;</li> <li>• urges the Council to capacitate itself to enable good governance and strategic management of the Union;</li> <li>• recommends that, in the process and context of the coming WCC, the President, the Council, the Director General and the main donors of IUCN join in supporting positive change in the governance system of the Union.</li> </ul>	45
6.1	If possible, donor organisations should consider increasing their financial commitment to the Union at global level through increased framework funding.	52
6.2	IUCN and its principal donors should extend the 'framework' type of funding agreement to the regional and country levels of the IUCN Programme where this is appropriate and timely.	52
6.3	The Director General should engage the Council and the core donors in further conceptualisation and planning of action to broaden the contacts and funding base in those donors' governments and societies for more effective support to the global Programme of the Union.	53
6.4	IUCN's donor partners should actively support such action by advocating the important role that it can play in the broader context of achieving a just world that values and conserves nature.	53
7.1	IUCN should develop and apply a thematic positioning strategy for its Programme that is based on the following principles: <ul style="list-style-type: none"> <li>• IUCN should aim to have access to knowledge, and policy positions, on all issues pertinent to its vision and mission;</li> </ul>	55

Recommendation no.		Page no.
	<ul style="list-style-type: none"> <li>• the work of the Secretariat and Commissions should focus on applying the KEG strategy and achieving the Programme's Key Results with regard to those themes on which they can add value most cost-effectively;</li> <li>• on other themes, the Secretariat and Commissions should restrict themselves to developing efficient knowledge networking (as opposed to knowledge generation) and the articulation of policy positions for the Union;</li> <li>• the Union's strategy should thus grade themes and issues: from those where it can play a leading role itself, through those where it plays a subordinate but significant role in partnerships with more competent agencies, to those that fall entirely outside its mission;</li> <li>• the role of the Chief Scientist in exploring the boundaries of the Union's thematic position should be maintained;</li> <li>• IUCN should maintain a mechanism such as the 3I-C Fund for the stimulation of thematically innovative thinking and strategies.</li> </ul>	
7.2	IUCN should maintain its commitment to facilitating and enhancing global multilateral processes of environmental governance. IUCN and funding agencies should negotiate the provision of resources to make this possible.	56
7.3	IUCN should seek funds to establish and operate a small office at UN headquarters in New York.	56
7.4	The primary role of the IUCN Montreal and Washington offices should be to work with Members in Canada and the United States to execute the Union's mission with governments and society there – addressing both domestic and global agendas. As Members take greater responsibility for growing Programme components in these countries, the Union should prepare to scale down and possibly withdraw its offices there.	56
7.5	IUCN should negotiate with European governments to secure the resources for a long-term strategy of developing a convincing presence in Brussels in order to influence international environmental governance within the EU and to influence the stance of the EU in global sustainable development and environmental governance. Like offices in North America, the Brussels office should be working to build Members' role in the Union's Programme. As Regional Office for Europe, the Brussels office should also oversee capacity building (where needed) for Members in its region.	57
7.6	IUCN and its funding partners, taking into account the existing emphasis of Netherlands framework funding on the Union's role at the CBD, should consolidate an expanded medium-term resource package to enable the PBIA Unit to (a) maintain a core set of briefing and facilitation services for developing countries' participation in the CBD; (b) operate the Global Biodiversity Forum twice a year for meetings linked to international environmental governance events.	57
7.7	Article 7(c) of the Statutes should be revised to allow Membership to organisations with a substantial record of activity in one or more fields of work that contribute to IUCN's mission.	58
7.8	Council should give an unambiguous response no later than December 2003 to the Secretariat's proposals on the Union's relations with the private sector. These proposals should include specification of future terms of reference for a Business and Biodiversity Unit within the Secretariat, focusing on partnerships with the private sector for execution of elements of the Programme. The Secretariat budget for 2004 should include an allocation for the operation of the Business and Biodiversity Unit, drawing if necessary on core funds. The current Private Sector Engagement Project should interact intensively with the preparation of the next Intersessional Programme over the rest of 2003, so that the new Programme specifies how the private sector can contribute to its execution.	59
7.9	In its next Intersessional Programme, IUCN should give more focused attention to developing partnerships as working links beyond the constituent parts of the Union itself: in particular, with the private sector and with agencies and networks in thematic areas where it does not have full capacity.	59
7.10	IUCN should articulate a strategy for country presence that: <ul style="list-style-type: none"> <li>• specifies the strategic priorities, criteria, arrangements, resources and timelines for the introduction and evolution of an IUCN country level presence;</li> </ul>	60

<b>Recommendation no.</b>		<b>Page no.</b>
	<ul style="list-style-type: none"><li>• specifies an evolutionary process during which country presence and Membership are developed by the Secretariat and the National Committee gradually takes a stronger role in country presence and programming.</li></ul>	

## **1. Introduction**

### **1.1. The purpose and character of the External Review**

During the 1990s, IUCN and its core donors commissioned four External Reviews of its condition and prospects. Four years after the 1999 External Review (ER), they have commissioned another. These exercises are considered “an important part of the performance feedback process for the IUCN Secretariat, donors, and members and partners by providing a basis for informed dialogue on the relevancy, effectiveness and efficiency of IUCN’s work”. They “provide an excellent opportunity not only for accountability to donors and stakeholders, but for reflection and the promotion of a learning culture in IUCN” (Terms of Reference (TOR): see Annex 1). The ER is expected to provide IUCN’s major donors with an unbiased assessment of its relevance and performance; and to give the Union a constructively critical overview of its quality and direction. This report is therefore submitted to the IUCN Council and, ultimately, to the Union’s highest policy-making body – the World Conservation Congress at Bangkok in November, 2004.

Like previous ER Teams, we have thus tried to combine several functions and qualities in the present exercise. The ER attempts a comprehensive, evaluative overview of the Union’s performance, but its emphasis is strategic, assessing the choices made and the directions taken with a view to recommending the best ways forward. It is external and impartial, but, as the TOR suggest, we have tried to make the exercise a participatory, learning process for as many people in the Union as was feasible in the time available. This report is the most visible output of the External Review. But we hope that the many discussions held around the world with Members, Commission members and the Secretariat over the last few months have also made a useful contribution to the Union’s ongoing debate about its role and performance.

As Annex 1 shows, this ER has four main objectives:

- to review the achievements to date of the current Intersessional Programme, with particular reference to its strategic, structural and operational impacts on the Union and its performance;
- to assess IUCN’s overall relevance in the broad and complex arena of sustainable development, commenting on its profile, niche and direction in striving for effective environmental governance;
- to analyse the organisation, operations, management and governance of the Union;
- to assess the financial viability of the organisation.

We quote the relevant sections of the TOR at the start of the corresponding chapters of this report.

As we have noted, IUCN has been debating a number of these issues since the last ER. Several task forces have been active, and studies commissioned (sections 4.4, 5.2, 5.6). The ER has not sought to duplicate this work. Instead, it has reviewed it and consulted many of those involved, in order to offer its own commentary on these issues and the way the Union has addressed them.

### **1.2. Methods and approach**

As for the 1999 ER, a six person team<sup>1</sup> was convened to undertake this review. To promote continuity, it included two members who had also participated in the 1999 study. The IUCN Monitoring and Evaluation Initiative took lead responsibility for organising and administering the review. Its Co-ordinator sat with the Director: Global Programme, the Director General and two donor representatives on a Steering Committee that supervised the ER. To ensure that the key organs and partners of the Union were fully informed about

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<sup>1</sup> Gabor Bruszt, institutional development and management specialist, Stockholm (team leader); Tania Ammour, economist, CATIE, Turrialba, Costa Rica; Jens Claussen, economist, Nordic Consulting Group, Oslo; Zenda Ofir, evaluation specialist, Evalnet, Johannesburg; N.C. Saxena, natural resource scientist, New Delhi; Stephen Turner, social scientist, Vrije Universiteit Amsterdam.

the progress of the ER, the team leader was invited to brief meetings of the Council and of key donors about our activities.

As required by the TOR (Annex 1), we undertook this review by combining “a series of semi-structured interviews and dialogues with key IUCN stakeholders”; the review of relevant documentation; and consultation with two panels already established by IUCN. One of these panels comprises organisational assessment specialists who have reviewed a number of the Union’s regional and country offices in recent years. Another comprises senior advisers on environment and development who convened to help guide the Secretariat in its preparations for the World Summit on Sustainable Development (WSSD). Both were considered to have accumulated knowledge and ideas that the ER should take into account. The TOR also required us to draft a detailed statement of proposed methodology, including an evaluation matrix of questions, instruments and sources, and submit it to the Steering Committee. This statement was submitted in early May and approved by the Steering Committee. In preparing the matrix, we built on a draft that was given to us by the Steering Committee. This draft matrix served effectively as supplementary terms of reference. From the matrix, we developed a set of issue guides, which comprised lists of issues around which interviews could be structured.

We addressed the key issues in the TOR by dividing them among the team members. On each key issue, one team member took the lead and a second provided support. A series of team meetings enabled the whole group to exchange ideas and build the main findings and arguments of this report.

We undertook interviews with key informants (Annex 3) and reviewed documents (Annex 4) in many parts of the world (see box). Eastern Africa and Meso America were selected as the main regions for field visits, because they represented different aspects of the Union’s character and work. In the former there are long established field programmes, a strong Secretariat (with one, soon two country offices) but limited Member numbers and capacity, and generally weak interaction with the Commissions. In the latter region, although the Secretariat and field programmes are strong too, Members have a significantly higher profile and there are no country offices. Asia was chosen for a short visit (it was the main field region for the 1999 ER) because of its high profile in the total field programme, staffing and budget of the Secretariat, and because its innovative structural and programming approaches were considered important.

Informants were selected from all relevant stakeholder groups: IUCN Members; the Commissions; the Secretariat; current and potential IUCN partner organisations; donor agencies; and people with a broad vision of the world of environmental action within which the Union must position itself. Interviews followed the issue guides that had been developed from the

<b>Schedule of ER activities, 2003</b> (see also Annex 3)	
<b>April</b>	Interviews and first team meeting, Gland
<b>May</b>	Visit to Eastern Africa Regional Office (EARO), to Tanzania and to Uganda Country Office  Interviews, Gland  Interviews in New York and Washington (including members of IUCN organisational assessment panel)  Visit to Meso America Regional Office (ORMA), to Guatemala and El Salvador. Second team meeting, Costa Rica
<b>June</b>	Team leader briefing to Council  Visit to Asia Regional Office (ARO)  Team leader briefing to IUCN donor meeting  Visit to Regional Office for Europe (ROFE)
<b>July</b>	Interviews (including members of IUCN advisory panel on environment and development) and third team meeting, Gland  Presentation to and participation in first day of IUCN senior management meeting, Gland  Preparation of draft report
<b>August</b>	Preparation of draft report and submission to Steering Committee
<b>September</b>	Receipt of comments.
<b>October</b>	Preparation of final report and submission to Steering Committee

evaluation matrix. Some were with individuals. In other cases, we held group interviews with, for example, Members and teams of programme and project staff. Most meetings were held in English. In Meso America, one team member held some interviews in Spanish. A professional interpreter provided simultaneous translation for group meetings held in Costa Rica. Team members with Spanish and French language skills reviewed documentation in those languages. In a number of cases we followed up on original discussions by making further enquiries by e-mail or telephone.

We also collected data by means of a questionnaire. This questionnaire is reproduced in Annex 2, which also gives some details of its distribution and analysis. The questionnaire was sent to the six Commission Chairs and to 72 Secretariat staff (Commission focal points; other senior global programme staff; regional programme co-ordinators; and regional thematic co-ordinators). In all, 52 (67%) of these 78 people replied. In the draft of this report, selected results from analysis of the questionnaires were presented in an Annex, along with discussion of those findings that supplemented the discussion of the IUCN Programme in Chapter 3. For a better integrated presentation, it was decided in this final version to include most of these results and discussion in the text of the main chapter and delete the annex. The questionnaire results were of course only one of our sources of information and opinions, and should be understood in the context of the full range of qualitative and statistical data, documents and interviews on which we have based our findings.

Overall, we thus undertook purposive, maximum variation sampling of the large and diverse population of people who are either involved in the work of the Union or have informed opinions about its position and performance. We coupled this with a similarly purposive review of the enormous literature by and about IUCN. As much as possible, we cross-checked the emerging patterns and themes by triangulating our verbal and documentary sources against each other.

A draft of this report was submitted to the Steering Committee on 15 August, 2003. We received comments on the draft from the Secretariat and from several donors, although not formally from the Steering Committee. We have taken these comments into consideration in preparing this final report.

## **2. Context and challenges**

### **2.1. The state of nature and societies**

IUCN's mission requires it to intervene at many levels in nature and society around the world. Any review of its performance and prospects must therefore be grounded in an appreciation of these multiple global contexts. These are vast themes that are monitored and periodically assessed by agencies like the United Nations Environment Programme (UNEP) and the World Resources Institute. In preparing its next Intersessional Programme (section 3.5), IUCN has commissioned its own global situation analysis of human and ecosystem well-being. This is not the place to duplicate or even summarise these assessments. But it is worth itemising just some of the challenges that IUCN faces:

- biodiversity loss and other changes to environmental resources, systems and processes pose a greater and more clearly recognised threat to human life on earth than ever before. These changes appear to be largely human-induced. Although human impacts on the natural environment have long been recognised, and although IUCN and other nature conservation agencies have been active for many decades now, the situation is getting worse rather than better;
- many millions of people have escaped from poverty and from food insecurity and are enjoying progressively higher standards of living. Widespread increases in affluence, however, pose new demands on natural resources and exacerbate adverse human impacts on the environment;



- at the same time, a large part of the world's population continues to suffer absolute poverty. It is increasingly recognised that poverty and environmental degradation are causally related, although analysis also shows that poor societies generally have a lower aggregate environmental impact than richer ones. There is growing global emphasis on reducing poverty, for example in the Millennium Development Goals and the increasing focus of development agencies on strategies for poverty reduction;
- despite the emphasis of global agencies and developed countries on combating poverty around the world, the accelerating processes of globalisation – while supposedly creating new opportunities for growth and prosperity in poor countries – seem to be reinforcing poverty and the unequal distribution of wealth between North and South. Although an efficient system for wealth creation, globalisation is accompanied by wealth concentration, social dislocation, cultural homogenisation, environmental degradation and narrower options for policy;
- these processes are leading to new tensions between North and South that detract from trust and progress in international environmental governance and related global initiatives;
- despite clear global awareness of the gravity of environmental degradation, these initiatives are receiving less support in this decade than they did in the last. This was clear at the WSSD in 2002, where the international conditions referred to above proved unfavourable for emphasis on the environmental pillar of sustainable development and the strongest focus was on poverty alleviation;
- while global environmental governance struggles to progress in these adverse conditions, national and local governance conditions have often deteriorated too. Conflict, corruption and the decay of state apparatus in many parts of the world mean that the formal structures and instruments that societies use in governing their use of natural resources are often less effective;
- it is increasingly clear that the competence of the state and its agencies in governing human affairs cannot be taken for granted. Many governments lack resources, capacity or political will, and their role in society seems to be receding. Other social forces and structures, ranging from resurgent traditional authorities to burgeoning NGO sectors, are playing stronger roles in some countries. This has major implications for the mission of IUCN “to influence, encourage and assist societies throughout the world”, and for its character and functioning as a body combining State and non-governmental membership.

The challenges to environmental organisations like IUCN are thus immense, and growing. We turn now to an equally brief review of the condition of IUCN as it faces these challenges in 2003.

## **2.2. The state of IUCN**

At the time of the 1999 External Review, there were three areas of urgent concern about the state of IUCN. One was the Programme and the programming process. The second was the state of the Union's knowledge management and the role of the Commissions in that process. The third was the increasingly evident weakness of the Union's governance through systems that were failing to keep up with the changing structure, needs and work of a dynamic organisation. There were two lesser, but significant challenges. One was the financial viability of the Union, which was described by the 1999 ER as “worsening but not critical” (Bruszt *et al.*, 1999: 34). The second challenge concerned the management and organisation of the Secretariat following a period of rapid regionalisation and decentralisation.

This review considers the progress made in tackling all these challenges, as we address the four main objectives set in our TOR (Annex 1). During our analysis, it has been constantly apparent that IUCN has a critically important role to play in the world, for as long as biodiversity loss and environmental degradation continue to threaten the planet. If IUCN did not exist, it would be necessary to invent it.

We begin here by identifying some of the main developments in the Union since 1999. Several of these were direct responses to the concerns of four years ago. IUCN addressed all the issues and recommendations in the 1999 ER seriously, tabulating them in a report that set out the intended responses (IUCN, 2000). We do not consider it the role of an ER to audit compliance with a previous ER's recommendations. But we refer at various points in this report to the progress the Union has made with regard to the issues raised four years ago.

Following an inconclusive planning process through much of 1999, an urgent reappraisal and intensive new planning effort produced a substantially different Intersessional **Programme** for 2001-2004. As we show in Chapter 3, this Programme is widely seen as one of the most positive developments in the Union in recent years. It has influenced the way IUCN thinks and works, and created new demands on its resources, organisation and management. Programming remains critical to the Union, of course, but is no longer the area of urgent concern that it was in 1999.

Meanwhile, the **financial viability** of the Union – a significant challenge in 1999 – is not precarious but is not assured. The financial volume of the Programme has remained roughly constant since 1999. The Union's total revenue was CHF 92m in 1999, and CHF 94m in 2002 (Chapter 6). The proportion of revenue from donor agencies that was allocated in the more programmatic form of framework agreements, as opposed to the more traditional, project-tied aid, has increased. Financial management standards, already high, have risen further. But, as we explain in Chapter 6, there are many ways in which the resourcing frameworks and modalities of IUCN conflict with the essential nature and purpose of the organisation. The Union's financial viability remains a significant challenge.

The Programme was approved at the Amman **World Conservation Congress** in October, 2000. There were mixed feelings about the relevance, effectiveness and efficiency of this major gathering (IUCN, 2001a), which performed the standard governance functions required of it by the Statutes and approved the new Programme but was less effective in giving the Union thematic and strategic direction and conspicuously avoided clear decisions on controversial issues like the future roles and mandates of Commissions. Around the world, the Union is now preparing itself for the next World Conservation Congress, to be held in Bangkok in November, 2004.

IUCN had 953 **Members** in April 1999. The 1000<sup>th</sup> Member is likely to be admitted at the December 2003 meeting of the Council. Members currently span 141 countries. Growth of the Membership thus continues, at a gentle pace. Member numbers and capacity remain very unevenly distributed around the world. Although they are numerous and strong in Europe, the Regional Office for Europe told us that the Secretariat had almost lost contact with many of them in recent years, and was now having to rebuild the links. In Eastern Africa, the Regional Office involves Members in almost all its projects, but their input is usually weak. In Meso America, increasingly structured efforts are made by the Secretariat to involve Members in programme preparation and management. The Asia Regional Office has now appointed a senior staff member as Constituency Development Officer: it, too, is giving greater attention to Members' role and concerns.

A 2000 review of four of the Union's six **Commissions** raised fundamental questions about the role of the Commission concept in the rapidly changing context of the Union's demand for knowledge and knowledge management (Bruszt and Turner, 2000). It also posed basic questions about the governance of the Commissions (section 5.6 below). The reaction of that year's Congress to these proposals was underwhelming. Since then, the Commissions have continued to operate along mostly familiar, and mostly still very valuable, paths. The Commission on Ecosystem Management has been rebuilding itself in promising directions. The Commission on Environmental, Economic and Social Policy continues its traditionally chequered performance. The World Commission on Protected Areas (WCPA) has facilitated IUCN's biggest event in 2003, the World Parks Congress in Durban. The knowledge management functions and governance of Commissions have been variously reviewed by a Governance Task Force of the Council and by a Consultative Group on Commission Operations set up by their Chairs. Now, a new study of the Union's knowledge needs, management and structures is to be undertaken in time for the Bangkok World Congress. This area of urgent concern, identified by the 1999 ER, remains an area of urgent concern in 2003.

Like the budget, the number of staff employed by the **Secretariat** has remained fairly constant (992 in 1999, 1,037 in 2002). Following the rapid regionalisation and decentralisation of the mid 1990s, some 85% of these staff work in the 12 Regional and outpost offices, in the 19 sub-regional and country offices and in numerous project offices (Chapter 4). A key event of 2001 was the arrival of a new Director General, whose predecessor resigned after two years in the position. The structure of the Secretariat has been revised in various ways over recent years, to reflect the requirements of the current Programme, to enhance reporting and other operational arrangements and to reflect new emphases in the ways the Union wants to work. Notable changes at headquarters have included the creation of a Corporate Strategy group to handle such issues as Member and donor relations and communications; the decision to hire senior advisers on social policy, gender and economics to work across the whole Programme, while the social and natural sciences are increasingly integrated in thematic programmes within the Ecosystems and Livelihoods Group; and the creation of a Policy and Global Change Group to spearhead the Union's growing commitment to international environmental governance. In the regions, some country offices have been downsized because of reduced project revenue, and the Asia Regional Office has moved ahead with a deconcentrated structure and streamlined reporting arrangements that place all the Secretariat's thematic expertise in one Ecosystems and Livelihoods group led by one co-ordinator in Colombo and one in Bangkok. Meanwhile, a Regionalisation and Decentralisation Review was launched in 2002 to assess whether the policies, strategies and structures of the now global Secretariat were optimally configured for support to the Programme. This Review has not yet been completed. Creative and diverse solutions to the organisation and management challenges of the Union have continued to emerge. But it remains a serious challenge to identify the best configuration and agree models and criteria for its variation in the widely varying social, political and institutional contexts within which IUCN works around the world.

The inability of the 2000 Congress to deal with some key **governance** issues did not go unnoticed. In 2001, the Council appointed a Governance Task Force, which has reported to it this year and is doing further work in preparation for the Council's December 2003 meeting. As we explain in Chapter 5, the Task Force has worked hard on the many and complex governance challenges facing the Union and has produced a number of recommendations – some already accepted by the Council, and to be put to the Congress in Bangkok – that it hopes balance the need for fundamental change with the political practicalities of achieving any change at all. Meanwhile, as we emphasise below, the welcome donor interest in providing more framework funding to IUCN is accompanied by an understandable donor concern that there be good governance in the recipient. There is widespread recognition of the need for fundamental enhancements to a governance system that has too often seemed immutable. But that change has not yet been approved. In the months leading to Bangkok, this remains at least as urgent a challenge as it was in 1999.

Overall, we find IUCN in better health and in better heart than it was four years ago. This more convincing Union was most effectively displayed in IUCN's widely praised performance at the World Summit on Sustainable Development at Johannesburg in 2002. Nevertheless, for all the stronger profile and performance that it has worked so hard to achieve, IUCN still faces two of the three urgent challenges identified in 1999, and the two other key issues of that year remain important today. They must all be addressed in the context of strategy to position the Union in a way that best enables it to carry out its mission. Before addressing them in Chapters 3 - 7 below, we outline the strategic position of the Union as we see it in 2003.

### **2.3. The Union's strategic position**

IUCN must always be aware of its strategic position in the world of environmental concern and action, and must seek to enhance that position as opportunities arise. We conclude our analysis of the Union's condition and prospects in Chapter 7 with an assessment of its strategic position, and recommendations on how it can be enhanced. But as background to our discussion of the Union's Programme, organisation, management, governance and finances, we begin with a summary of what that position is now.

#### **2.3.1. Thematic position**

Is the Union positioning itself optimally amidst the array of sustainable development themes that it could potentially address? Thematic positioning concerns the scientific and the programmatic coverage of IUCN. The 1999 ER identified it as a critical issue. In fact it will always be a key concern in the strategic leadership

of the Union. The expertise of IUCN's Commissions and Secretariat remains rooted in its acknowledged natural science heartland of conservation, biodiversity, ecology and related fields. The essential role of social science continues to be recognised, but the Commission on Environmental, Economic and Social Policy (CEESP) remains the Union's least effective Commission and there has been repeated restructuring of social science capacity in the Secretariat. Members, too, are most numerous in conservation fields. But, as the ER team were reminded in Meso America, there is growing pressure for more socially orientated organisations to be accepted as Members.

#### IUCN's vision

*A just world that values and conserves nature.*

IUCN's work has achieved better structure and focus through the current Intersessional Programme (Chapter 3 below). The draft 2005-2008 Programme enhances that focus through confirmation that all the Union's work falls within the environmental sphere of sustainable development, although four of the proposed five thematic Key Results Areas (KRAs) in the new Programme overlap into either the economic or the social spheres as well. Despite this apparent focus, the breadth of the challenges that IUCN's mission addresses requires constant survey of emerging issues, and strategic decisions about how far to engage with them. Notable developments since the last ER have been increased

#### IUCN's mission

*To influence, encourage and assist societies throughout the world to conserve the integrity and diversity of nature and to ensure that any use of natural resources is equitable and ecologically sustainable.*

attention to trade and climate change as issues affecting biodiversity; a greater focus on poverty as both a cause and an effect of environmental degradation; and more prominent integration of ecosystems and livelihoods approaches in some of the Union's key thematic programmes, which include a major new Water and Nature Initiative (WANI). IUCN is grappling with more and more issues. Although the Programme framework occasionally causes the Secretariat to reject ideas for new projects, there are few areas of work that the Union has abandoned to free up resources for new endeavours.

### 2.3.2. International environmental governance

Is the Union making the right choices in deploying its limited resources across the range of multilateral environmental agreements (MEAs) and processes through which it could potentially pursue its mission? In international environmental governance, IUCN has remained active in its 'heartland' processes, notably the Convention on International Trade in Endangered Species (CITES), the Ramsar Convention on Wetlands and the World Heritage Convention. Sustained involvement in the Convention on Biological Diversity (CBD) confirmed that this can be considered a 'heartland' for IUCN too. At the same time, the Union worked hard to engage with the processes of the World Trade Organisation and the United Nations Framework Convention on Climate Change (UNFCCC); gave more attention to the UN Convention to Combat Desertification; and made important contributions in existing and new regional initiatives such as the Mekong River Commission, the Central American Commission on Environment and Development (CCAD) and the Environmental Action Plan of the New Partnership for Africa's Development (NEPAD). IUCN is the only conservation organisation with Observer status at the United Nations. This status, awarded in 2000, has facilitated its formal recognition as an Intergovernmental Organisation in some international environmental governance processes such as the CBD, UNFCCC and CITES. It invested heavily in its presence at the Johannesburg World Summit on Sustainable Development (WSSD) in 2002, and has since raised its profile in the UN Commission for Sustainable Development and the Economic and Social Council of the UN.

ER interviews confirm that in these numerous forums IUCN is generally respected as a serious, science-based organisation that adopts moderate positions. Its stance is seen as reflecting the breadth of its Membership and the continuity and depth of its experience. Its convening power and ability to act as a bridge between governmental and non-governmental interests are widely recognised by ER interviewees and are well represented in the continuing use of the Global Biodiversity Forum (GBF) for open debate between all parties in advance of major environmental governance events (Turner and Gawler, 2002). Inverse aspects of this kind of profile are that IUCN is sometimes seen as shunning controversy, as reluctant to take a stand on tough issues. Governments sometimes distrust the Union as being too 'non-governmental', excluding it from some of their deliberations (as in Latin American preparations for the WSSD). Civil society does not always

trust the partly 'governmental' character of IUCN, questioning whether it should commit itself to processes convened by IUCN (as in the Nile Basin Discourse). Some governments are asking for State Members to have a clearer identity, rights and role in the governance of the Union.

### **2.3.3. Institutional position**

There are at least two dimensions to institutional positioning. The simpler one concerns IUCN's place within the global community of environmental agencies. That place is clear. The Union's profile generally corresponds to its programmatic emphasis on knowledge, empowerment and governance (KEG). It is thus seen by ER interviewees at global level as locating itself primarily at the policy end of the policy-practice spectrum, and as emphasising (though certainly not monopolising) science and knowledge as a basis for its activities. It is therefore not thought to duplicate the work of what are seen as the more practice-oriented conservation agencies, like the Worldwide Fund for Nature or Conservation International. Nor is any other agency seen as attempting the convening role of IUCN. Inter-agency relations have been clarified and enhanced by more structured and frequent consultations between chief executives of the senior world environmental agencies since the WSSD. The first of these was hosted by IUCN.

The more complex and challenging dimension concerns IUCN's position relative to various interests in society. While it is seen primarily as an empowerment and policy agency for conservation by global level observers, it is often seen at national and local levels as engaged in the practice of conservation, notably through project execution. This raises questions about the respective roles at these levels of the Secretariat and the Union's current Members (section 3.6.2). Then, there are questions as to whether IUCN should embrace other constituencies: notably NGOs pushing for change at the environment-poverty nexus, and the private sector. IUCN is widely seen as pro-poor and has successfully engaged with the business sector at high level (as in the World Commission on Dams and in work with the mining sector). But, despite policy work in both these fields, more must be done before it has a clear operational strategy for its relations with the business community and with more socially orientated NGOs.

Next, how can IUCN engage with the many interest groups in society that can contribute to its mission? It can engage with them as Members. (It is important to remember how different State and NGO members of the Union are, and what differing relationships may pertain between these two types of Member and the Secretariat.) Or, to a lesser extent, it can engage with them through its scientific Commissions. It can engage with other interest groups as a client or agent, by accepting programme or project funding from them for agreed activities. A bigger challenge is for it to engage with them as a partner, in which case each party's roles, contributions and benefits have to be clearly defined.

### **2.3.4. Vertical position**

Although the ER's terms of reference emphasise the global arena and processes, it is also important to consider IUCN's strategic positioning at the regional and national levels. Has IUCN's Programme achieved the right balance between the global and the local? A related question is whether it is making the necessary linkages between global policy and local practice.

IUCN's mission speaks of encouraging, influencing and assisting societies. The vertical positioning question concerns the scale or level at which IUCN should do this. The Union currently operates at all levels on this vertical scale: from groups of local resource users through local and national government agencies to regional initiatives and global environmental governance processes. Through the country and regional offices of the Secretariat, it undertakes field projects and a variety of empowerment and governance initiatives with societies at the sub-national level, and works with governments and other agencies at country level. We have already noted how IUCN engages with many environmental governance processes at regional and global levels. Throughout its operations, IUCN's principle is that engagement with local practice should feed up to knowledge, practice and policy at broader levels. A key challenge is therefore to ensure maximum linkages and knowledge transfer from field and local practice to the broader constituencies of the Union.

This wide vertical range of operations poses several other challenges to coherent policy and practice. Should IUCN embrace subsidiarity, and what should that mean for this organisation? What should be the respective roles of Secretariat and Members in Union work at more local levels? How should IUCN divide its attentions

between the ‘northern’ mantra of ‘think globally, act locally’ and the more ‘southern’ agenda of ‘think locally, act globally’? Should IUCN see country programmes as the basic building blocks of its regional and global presence and impact? How should IUCN grow - can it develop a clear strategy for the development and ultimate withdrawal of country-level presence by the Secretariat? How should resources be divided between country and regional programmes? Should IUCN have a more explicit strategy for matching the strength of Secretariat presence and programmes to countries’ stage of socio-economic development and Member capacity? As this report will show, the ER has found that the Union is uncertain about many of these questions. Understandably, there is enormous variety in its vertical positioning around the world. There are no country offices in South or Meso America. Europe presents a spectrum from powerful Membership and a supporting role for the Secretariat in the west to weaker Membership and a stronger Secretariat programme in the east. The Asia programme is largely based on the activities of country offices, above which the Asia regional office has only recently been introduced. In Eastern Africa, many long standing field programmes have been run without country offices, while in Southern and Western Africa country offices have played a stronger role. Through all these variants, a common theme is the imperfect linkages between (often local) project experience and the broader knowledge and practice of the Union and the societies it seeks to serve. We find in this review that vertical positioning is one of the key challenges that IUCN must address in the coming years.

This outline of IUCN’s current strategic position has shown the complex range of challenges that the Union must address in executing its Programme and in achieving the knowledge, organisation, management, governance and financial viability that are necessary for that purpose. We now begin a more detailed review of IUCN performance by assessing the progress made with the Intersessional Programme itself.

### 3. The IUCN Programme

#### 3.1. Introduction

The Terms of Reference required the ER team to assess the relevance, effectiveness and efficiency of the 2001-2004 IUCN Intersessional Programme strategy (see box). In the evaluation matrix that was developed to elaborate on the TOR (section 1.2), the key question is whether the IUCN Programming System (including the Programme Framework and Strategy) and its implementation since 1999 were adequate to achieve the goals and mission of IUCN. Making specific reference to the sub-questions that were set out in the evaluation matrix to elaborate on this theme, we try to answer this question in this chapter. However, we argued from the outset that it would be impossible to assess the effectiveness of the current Programme, unless information with which to do this were readily available. We do discuss the progress made by IUCN towards measuring its effectiveness (section 3.4), but offer no direct judgement on that effectiveness.

*...assess the relevance, effectiveness and efficiency of the IUCN Intersessional Programme strategy. In particular... assess whether the strategy and programme framework that bring together the components of the IUCN Intersessional Programme are adequate to effectively address the key challenges of conservation of biodiversity and the improvement of livelihoods.*

TOR, Annex 1

#### 3.2. Progress since 1999

In 1999, the state of IUCN’s Programme and programming process was the most prominent of the grave concerns identified by the ER (section 2.2 above). People often speak of a ‘programming crisis’ in late 1999. The ER of that year argued that the Union’s programming was not adequate for the achievement of its vision and mission.

*Describe the progress that IUCN has made since the 1999 External Review in putting in place an adequate Programming System, including programme framework and strategy, key results areas, monitoring and reporting on progress.*

Evaluation matrix.

Ultimately, in an intensive period that few of them would probably care to repeat, a global team generated the current Intersessional Programme (2001-2004) in time for it to be approved by the World Conservation Congress at Amman in October, 2000.

The present ER has again been asked to comment on the adequacy of the current programming system and of its execution. Meanwhile, work has already started on the 2005-2008 Programme, and we have been able to see the first draft that has been sent from headquarters to the regions for consideration. While we make various comments on these ideas for 2005-2008 (notably in section 3.5), we stress that the current draft for the 2005-2008 Programme is only a draft, and is likely to evolve as the intended consultative planning process proceeds over the rest of this year.

The 2001-2004 Intersessional Programme is widely seen as a milestone in the way IUCN conceptualises and structures its efforts. **We endorse** this view. The current Programme is a major improvement over its predecessors. Building on the approval of the current vision and mission statements by Council in 1999, this Programme launched the Union into results-based planning and programme management, introducing two key organising concepts for this purpose. First, the Union's work was categorised according to which of 59 specified results each activity sought to achieve. These results were grouped into seven Key Result Areas (KRAs), all intended to contribute to two overarching 'conservation goals': facing the extinction crisis and maintaining ecosystem integrity. The second concept, which has proved more powerful, was that of a programme strategy, comprising four elements: Knowledge, Empowerment, Governance and Operations (KEGO). This explains the sequential intention of IUCN's work, with effective (and socially just) environmental governance as the apex of its achievement, making the Union's vision a reality. (Efficient operations were included as the necessary support systems for the KEG strategy to be accomplished.) Governance is the phase of the strategy where IUCN can have broadest impact on societies' environmental management and impacts, and should ultimately be the field where most of the Union's achievement is focused.

Key Result Areas, 2001-2004	
1.	Effective management and restoration of ecosystems
2.	Institutions, agreements, processes and policies
3.	Incentives, including finance for conservation of biodiversity and sustainable use of natural resources
4.	Equitable sharing of the costs and benefits
5.	Assessment of biodiversity and of related social and economic factors
6.	Information management and communication systems
7.	Effective, efficient and accountable management and leadership of the Union

This improved programming approach has had cascading effects through the levels of the Secretariat, having come to be reflected in the structure and approach of regional and national programmes. (A similar approach was already in use in Eastern Africa before the 2001-2004 global Programme was formulated.) As a result, there is a much stronger logic and more effective co-ordination in the vertical structure of the Union's efforts. The KEGO strategy and the seven KRAs are to be found in all the component country and regional programmes, applying a single rationale to IUCN interventions from the field level generation of knowledge to global environmental governance.

IUCN's character as a Union of Members supported in their mission by Commissions and a Secretariat made it important to define whose work this Programme actually described. Using the analogy of the yolk and white of an egg, the Programme, or 'yolk', specified "activities for which IUCN has direct accountability", i.e. the work of the Secretariat and Commissions. Other activities influenced or inspired by the Programme but for which the Secretariat and Commissions are not directly responsible – including much Member activity – were placed in the 'white' of the egg. In fact, some Commissions' programmes remained at least partly independent of 'the' IUCN Programme, which is co-ordinated by the Secretariat. Other Commissions' programmes have long been integrated with those of the Secretariat, but only in 2003 did Council formally agree that Commissions' work forms an integral part of a single IUCN Programme.

The introduction of the KRA framework and KEGO strategy was a major conceptual leap for IUCN, mainly because it provided an opportunity to bring coherence to the work of the Union by linking the component programmes at results level into an overarching Programme framework. It also established a means to link

the annual budget planning of each component programme to the overarching Programme plan. It thus created the opportunity (not yet fully taken up) to track the budget at activity (or project), annual component result, component Intersessional result, overall result and KRA levels. This created the potential to set priorities and direct these through strategic budget allocations. Every result could also be coded by biome, allowing for a further level of thematic analysis. Many of the results highlighted the fact that change could be brought about at global, regional, national or local level.

The component programmes could now be harmonised, with linkages traced and aggregated into a ‘bigger picture’. For the first time in several decades IUCN had, in theory, a way to understand what changes it wanted to bring about and how, and what was taking place at national, regional and global levels. The Programme Framework provided a tool to monitor what was done and the budget process could be used strategically to shift the balance of work between KRAs. While there is still scope for improvement, the development of a systematic, institutionalised monitoring, reporting and evaluation system has also provided IUCN with a valuable tool to identify programming weaknesses. This aspect is explored in greater depth in section 3.4.

Weaknesses remain in the current Programme. One of the more serious ones is its broad definition of thematic activities, which has prevented it from being an effective tool to direct and focus activities. Scrutiny of its projects shows that IUCN continues to spread itself thinly across many activities with limited resources. Furthermore, the Programme has remained a conceptual rationale and framework for what the Union does, rather than becoming the leading, dynamic driver for its choices and activities (section 3.6.1). But there are currently two important limits on how specific and directive an IUCN Programme can be. First, it is drawn up without full knowledge of the resources that will be available for its execution. Secondly, it must represent the priorities and intentions of a very wide constituency – not only the Membership, which must endorse it at the World Conservation Congress, but also the diverse technical, social and political interests represented in the Commissions and the Secretariat.

Nor has the Programme, for all its strengths, been linked to a convincing and appropriate business plan for its execution. The Secretariat has continued to operate largely according to a market-driven business model (section 3.6.1) and, despite donor interest at all levels, has only partially exploited the opportunities that the new framework and strategy provided for a more programmatic approach to its choice of work. Such an approach would enable the Union to apply the full conceptual power of its KEG strategy to the direction of its activities.

We now turn to some of the impacts and implications of the Programme, as they have been revealed over the three years since it came into being.

### 3.3. The 2001-2004 Intersessional Programme: impacts and implications for IUCN

#### 3.3.1. Ownership and use

Consultation with Members in the preparation of IUCN Programmes grew slowly during the 1990s. The need for such consultation was an initial driving force in planning for the 2001-2004 Programme. The haste with which that Programme had ultimately to be constructed turned it once again into a document that emanated from headquarters in Gland. Nevertheless, there was good representation from other offices of the Secretariat in the Gland drafting exercise. The widespread use of the Programme framework and strategy soon after their introduction was also stimulated by the concurrent amendment and enhancement of the IUCN programme management systems for planning, monitoring and reporting. Ownership and understanding of the Programme across the Union can still be much improved, but IUCN has at least succeeded in establishing a Programme that is becoming a unifying force rather than remaining a compilation of completely separate programmes under an organisational umbrella.

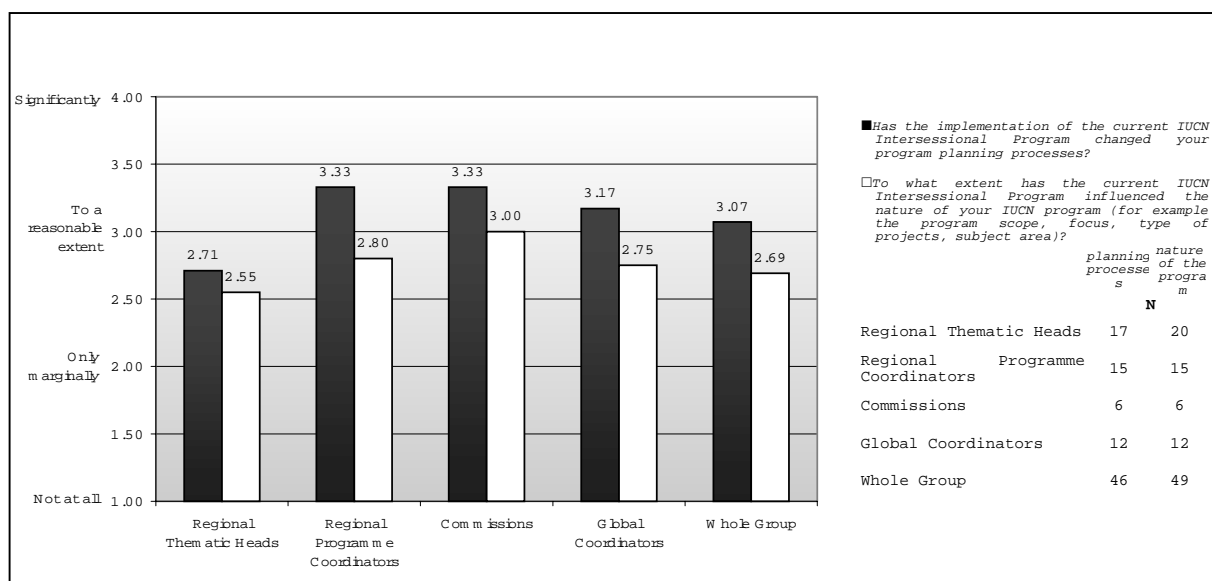
*To what extent is the Programme Framework (KRAs) and Strategy (KEG) known and effectively used throughout the components of the Union to deliver its work?*

Evaluation matrix.



Interview information and responses to the questionnaire survey (questions 1 and 2, Annex 2) indicate that the current Programme framework and strategy are well known and used throughout the Secretariat, at global, regional and in some cases national levels, among staff involved in programme planning, monitoring and reporting. It has had a considerable influence on the way that global and regional component programme co-ordinators plan their activities; less so on the nature of their programmes (Figure 1). Most ordinary members of Commissions are probably not familiar with the Programme, but the survey confirmed that Commission Chairs and their Steering Committees do use its framework in their planning and reporting. This link will be strengthened by the recent Council decision to integrate Commission work entirely into the Programme.

**Figure 1. The influence of the IUCN Intersessional Programme**



Survey questions 1a and 2a (Annex 2).

In Figure 1 and the figures that follow, the number of people who answered the question ('N') is shown for each question and/or the components of that question.

Clarifying their response to our survey questions 1a and 2a, respondents said that the need to specify clear links to the overall Programme results focused their analysis of the broader context within which the component programmes operate, and the KRA framework and KEGO strategy imposed more structure and logic on these programmes. They also report that the Programme has created a shared vision and common 'language' among programme planners across the organisation, facilitated joint design and planning by component programmes; and ensured an intervention logic that responds well to national, regional and thematic needs in the key areas of IUCN work. The Programme has resonated well with IUCN's increasing emphasis on ecosystems and livelihoods work, notably in WANI and the Landscapes and Livelihoods programme. The KEG strategy has provided both conceptual guidance, and a facilitative framework for such initiatives: they can be set up to pursue the sequence of activities from knowledge generation through to environmental governance, and their outcomes can be specified and logically related to each other by locating them in the appropriate KRAs.

However, survey responses as well as many of the interviews conducted by the ER team confirmed that while the use of the framework has enabled some programme co-ordinators to identify gaps and to enhance the focus of some activities, it has only occasionally led to the exclusion of project ideas from component programmes – for example, a project on pollution in Lake Victoria. Programme co-ordinators repeatedly told

us that almost all their activities could be accommodated in it. This confirms that the Programme remains largely a facilitative and justifying framework.

Members whom the ER met have some knowledge of the Programme, but their sense of ownership over it remains limited. In all the regions we visited, Member meetings have been briefed about the Programme and consulted about its interpretation in the regional work of IUCN. But two factors limit the influence of the Programme in this regard. First, Member and local or regional priorities are understandably the strongest criteria in such discussions about what the Union should do, and the Programme itself remains such a broad and accommodating framework that there is generally no problem fitting these priorities into IUCN's national or regional programmes of work. Secondly, the logistical and operational, not to mention strategic, difficulties of ensuring intensive Member engagement in Programme design and management mean that at the end of the day, the Secretariat continues to steer and deliver it, and Members continue to feel that consultation about the Programme is only skin deep. We return to the question of how far Members can or should be involved in Programme design and delivery in section 3.6.2.

### 3.3.2. Maximising synergies and comparative advantage

In theory, the comparative advantage of IUCN lies largely in its ability to be more than the sum of its parts: in other words, to build **synergies between Members, Commissions and the Secretariat**. Part of this comparative advantage lies in the potential for Members to add value by working together. That value can be compounded when Members, the Secretariat and Commissions work together in partnerships of two or more parties – a Commission with two regional thematic programmes and a group of Members, for example. Other

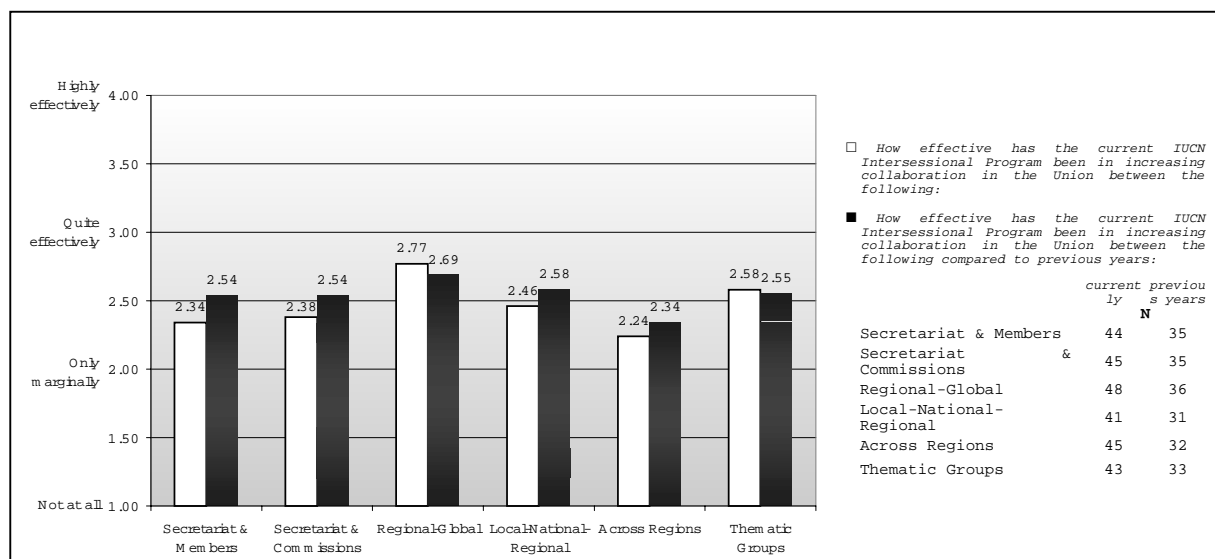
*To what extent is the Programme Framework and Strategy effective in **maximising the synergies** between the component parts of the Union in delivering an effective Programme...[and] in **maximising the comparative advantage and niche** of IUCN?*

Evaluation matrix.

frequently cited dimensions of IUCN's comparative advantage also stem from the special character of this global Union of Members and Commissions, with their worldwide Secretariat. They include the Union's **convening power as a neutral and scientifically authoritative facilitator of policy debate** – a power that is increased by the **dual governmental and non-governmental nature of the Membership**, and informed by the many **practice-to-policy linkages** that IUCN work can create. **World coverage** and the **vertical span** of the organisation from **local to global** levels are other special qualities. The **scientific credibility** that the Commissions give IUCN can be combined with the **political credibility** that its **membership character** and **UN Observer status** provide. These are all meant to be dimensions of IUCN's comparative advantage. The question is whether the current Programme framework and strategy have helped the Union to maximise the synergies between its components, and thus make best use of that advantage? Has it truly become a Programme of the Union, or is it still, like its predecessors, mainly a Programme of the Secretariat?

We asked these questions in several ways in our questionnaire survey (questions 4-9, Annex 2). In general, the replies (Figure 2) were lukewarm. Respondents felt that the Programme had been somewhat more than marginally effective in increasing these collaborations and synergies, but very few would go so far as to say that it had been 'quite effective' in this regard. The Programme provides a framework within which IUCN's comparative advantage can be exploited and synergies built. But responses and interview information indicate that whether this happens depends not directly on the Programme but on IUCN's business model (section 3.6.1); its business plan; the working attitudes and enthusiasm of Secretariat staff and Commission leadership; and the human and monetary resources that can be made available. IUCN's comparative advantage is strong; but exploiting it is a complex and demanding challenge that needs social and organisational skill as well as substantial resources.

**Figure 2. Enhancing synergies and comparative advantages**



Survey questions 4-9a, b (Annex 2).

None of these requisites is directly provided by the Programme. Although the Programme has provided an enabling framework for the Union to maximise the synergies between its regions, component programmes, Members, Commissions and Secretariat, this is only a necessary condition for such synergies to be realised – not a sufficient one. What really matters is money. These synergies have only really blossomed when dedicated funding could be provided – as for example, during the period of SDC funding to the Global Biodiversity Programme, or under the provisions of the ongoing Innovation, Integration, Information and Communication (3I-C) Fund.

Technically speaking, and especially since the formal incorporation of the Commissions’ work this year, the Intersessional Programme is a Programme of the whole Union. **We commend** the efforts that have been made to bring the Secretariat, Members and Commissions closer together in its ownership and execution. But there is a long way to go before the potential synergies between IUCN components are fully developed and the Programme is more truly a Programme of the Union as a whole.

### 3.3.3. Innovation and response to emerging issues

IUCN is an organisation that encourages innovation and responsiveness to emerging issues. How far do the Programme framework and system support these attributes? It is important for IUCN to be conceptually agile and quick off the mark in identifying and addressing new challenges. At the same time, it has to maintain stability and focus. We find that the current Programme framework and strategy have provided that stability and focus, while also providing space for innovation to occur.

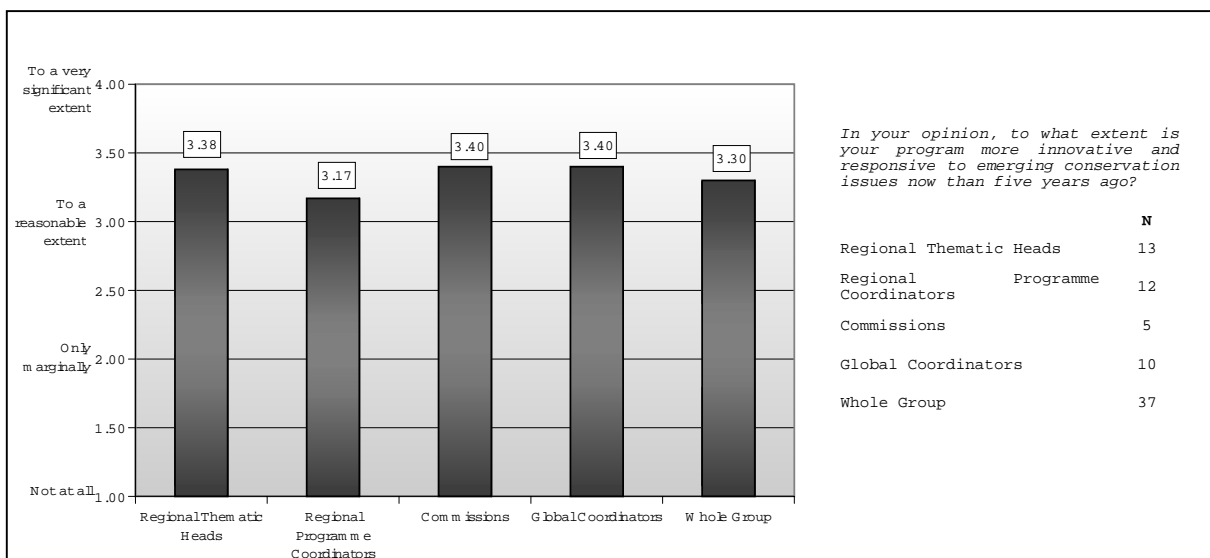
*To what extent does the Programme Framework and System support innovation and respond to emerging conservation issues?*

Evaluation matrix.

Responding to our questionnaire survey, programme co-ordinators and regional thematic heads identified many emerging issues that had had impacts on their work during the last five years (Question 10, Annex 2). The most often mentioned are the shift from a central focus on sustainable development to a sustainable development agenda that has poverty and livelihoods at its centre, which includes aspects such as human conflict and human rights; the need for an integrated approach to the management of landscapes and bioregions, linking conservation and development; the link between Millennium Development Goals and PRSPs; the effect of globalisation, including trade and the environment; the greater focus on trans border management; the relationship between agriculture and the environment; and the strong influence of the private sector. A review of projects indicates that IUCN is already doing significant work on some of these issues.

Respondents as a whole felt that their work had performed reasonably well in becoming more innovative and responsive to emerging conservation issues over this period (Figure 3). They spoke of the way IUCN leadership encourages innovation; the “new way of doing business” in IUCN; the greater commitment of staff to social and equity issues; the facilities provided by the 3I-C Fund (see below); the need to address clients’ needs; greater interaction with other parts of the Union and information exchange through this interaction and through programme reporting; greater interaction between Commissions and programmes; the increased effort to be a learning organisation; the regionalisation of the Secretariat; and the multidisciplinary nature of work at the ecosystem level. They also referred to external factors: involvement in global events like the World Water Forum and WSSD; the input of experts; and exposure through partnerships.

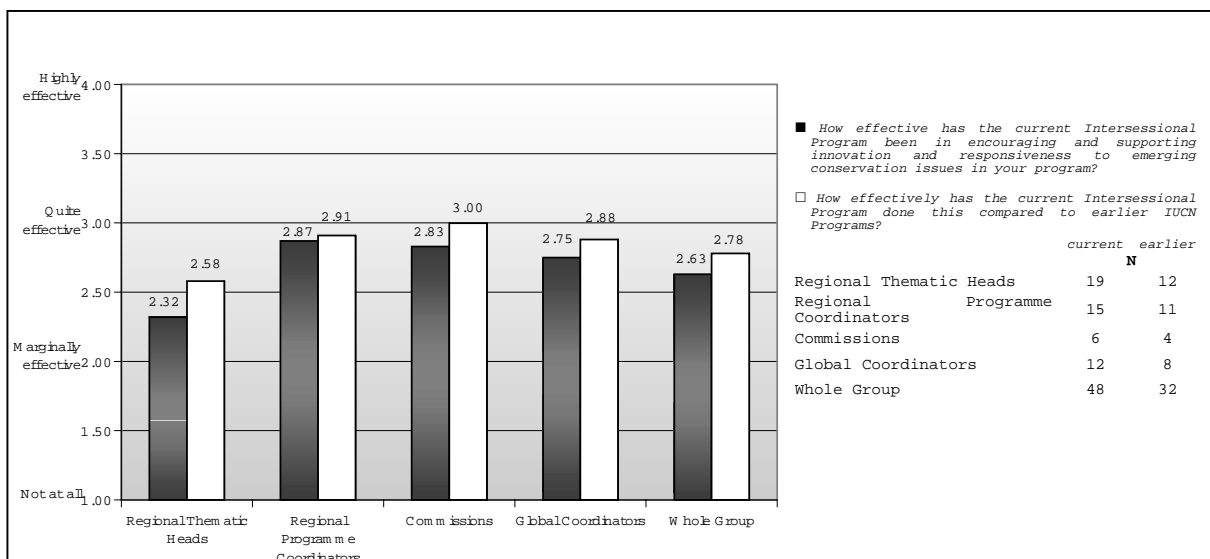
**Figure 3. Component programme responsiveness to innovation and emerging conservation issues**



Survey question 11a (Annex 2).

Our survey respondents ascribe this better innovative performance only partly to the Programme (Figure 4). An analysis of their comments indicates that, while the Programme has not been directly responsible for stimulating the most innovative directions and arrangements in the Union’s work, it has facilitated this kind of work. Respondents pointed out that it has provided space for innovative approaches like WANI, which is one of the best examples of programmatic innovation during the current quadrennium. They said that the KRA framework and KEGO strategy, and the mode of thinking they have stimulated, have encouraged innovative thinking. The character of the Programme has helped IUCN to focus on changing paradigms in conservation and give increasing emphasis to ecosystems approaches and poverty and livelihoods concerns. The Programme planning process has been helpful too, with its emphasis on situation analysis and sharing of information.

**Figure 4. Programme promotion of innovation and responsiveness to emerging issues**



Survey questions 12a, b (Annex 2).

IUCN’s most direct instrument for stimulating programme innovation is the 3I-C Fund. This, too, is not a direct result of the Programme but is facilitated by its framework and strategy. The Fund aims to stimulate both kinds of innovation: thematic and operational. We did not attempt to determine the effectiveness of the Fund; it certainly has the potential to be effective in enhancing synergies and promoting the Union’s comparative advantage. An example of this is its requirement that a global programme, a regional programme and a Commission be involved in each 3I-C project, although some staff in the regions perceive a bias in the allocation of 3I-C funding to activities at headquarters. But it certainly cannot be the only mechanism for this purpose (section 4.3).

The obvious challenge, if IUCN is succeeding with innovative thinking through 3I-C projects and other means, is how that thinking is then integrated into the mainstream of the Programme. Here, what might from other perspectives seem a weakness in the Programme is actually a strength. The fact that the Programme is more a guiding framework than a directive plan means that it does provide the space for new ideas and approaches to be implemented – provided that resources can be found.

This remains a key constraint to innovation by IUCN. In general, staff feel – and we have seen – that they lack the time and the money to reflect, learn and innovate. The 3I-C Fund removes some of these constraints, but certainly not all. Even where the Fund does help, there is the subsequent challenge of finding the money to mainstream or upscale the ideas – though WANI shows that it certainly can be done. Informants in Asia felt that learning and innovation capacity had been lost through too quick a shift from field activities to empowerment, policy and facilitation work. Some Secretariat staff fear that not all Members are conceptually progressive, and that a stronger Member role in the Programme could restrain some innovation. Interestingly, only one of our survey respondents mentioned IUCN bureaucracy as a constraint on innovation. This not only commends the Union’s organisation and management, but again suggests that the Programme framework and strategy facilitate rather than constrain innovation.

### 3.3.4. Knowledge management

Knowledge management comprises more than the simple generation and systematisation of knowledge. It also involves the interpretation, synthesis and integration of knowledge. These are conventional functions of science. But they are becoming a broader and rapidly expanding challenge for organisations like IUCN. The Union has to ensure that it can

*To what extent does the Programme System (framework and strategy) support improved knowledge management in IUCN?*

Evaluation matrix.

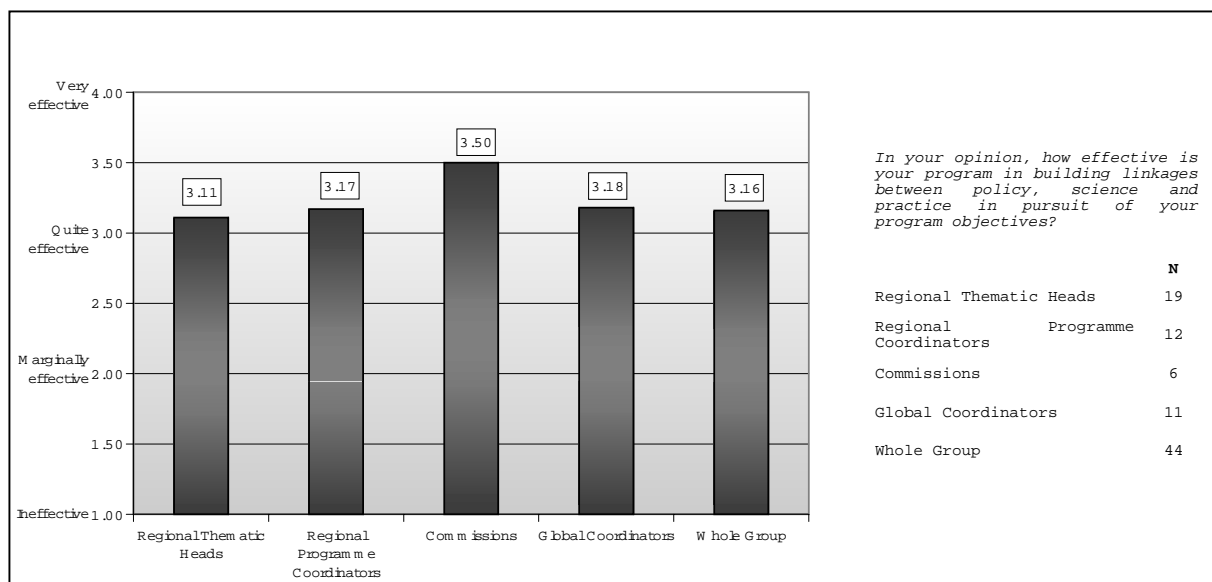
generate credible knowledge in a systematic manner and make it relevant, accessible and useable for the fast changing paradigms and priorities of increasingly dynamic societies. Next, knowledge must be disseminated. Again, this task is becoming more complex and demanding as knowledge needs in IUCN’s global constituency grow and the technologies for dissemination multiply. Lastly, knowledge management means being able to use knowledge for learning, developing best practice and policies, and improving institutions – all tasks that IUCN must undertake internally and help its Members and partners undertake in the wider world. We regard the systems that enable organisational learning, and the use of lessons learned, as an essential complement to knowledge management for an organisation like IUCN . We explore IUCN’s evolution as a learning organisation in more detail in section 3.5 below.

We now ask how far the current Programme framework and strategy, and other factors, have stimulated or constrained the Union in its core function of knowledge management.

The current Intersessional Programme certainly recognises the central role that knowledge management plays in the mission of IUCN. It points out that “IUCN’s core business is **generating, integrating, managing and disseminating knowledge** for conservation” (IUCN, 2001c: 13). This is not done for its own sake; IUCN will use the knowledge to build the capacity, responsibility and willingness of people and institutions to plan, manage, conserve and use nature and natural resources in a sustainable and equitable manner. From this flow the systematic improvement of laws, policies, economic instruments and institutions for conservation and the sustainable and equitable use of nature and natural resources. This approach has been the basis of the KEGO strategy. Clearly, IUCN’s knowledge management cannot be separated from its internal learning mechanisms, nor from the use of its knowledge through its many activities and programmes.

Programme co-ordinators believe that their programmes are quite effective in building linkages between policy, science and practice in pursuit of their objectives (Figure 5). This implies an effective link between component programme activities, the knowledge they generate and the use of this knowledge in policy and an improved understanding of good practice.

**Figure 5. Linking policy, science and practice**



Survey question 21 (Annex 2).

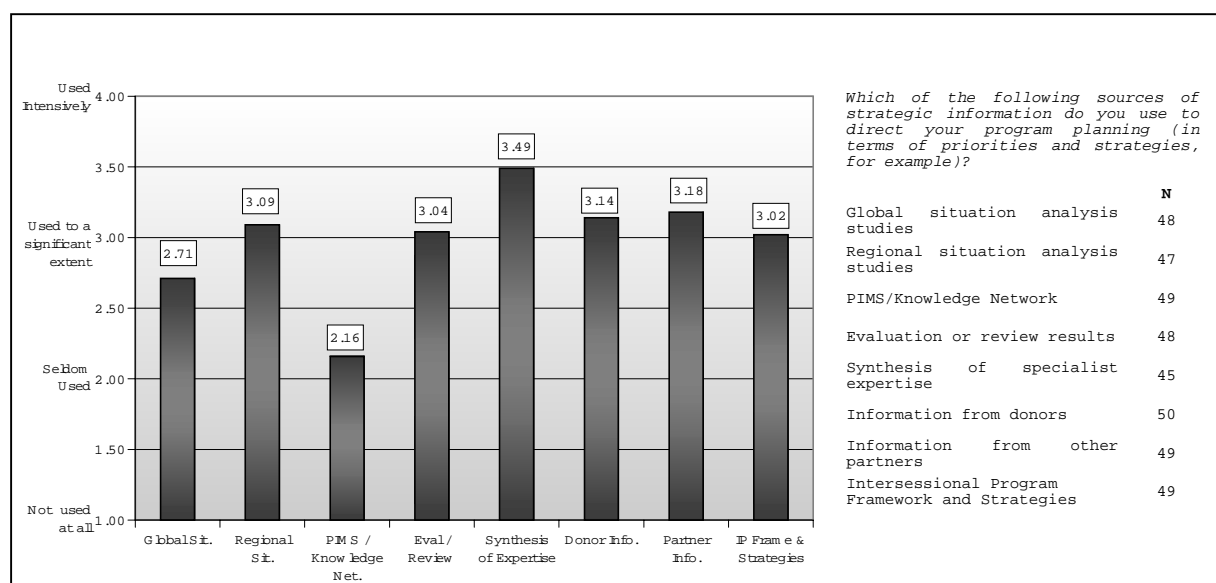
IUCN has certainly had many successes in using its extensive knowledge base to inform policy and practice. But we are not fully convinced that the science-policy-practice linkages that are so central to the KEG strategy are as effectively achieved as the respondents quoted in Figure 5 appear to believe. At the very least, we suggest that these linkages should be designed in a more strategic manner. When activities begin at the

start of the K-E-G sequence, they should plan a results chain to identify intended users and uses of the knowledge they will generate. These linkages are not achieved, or tracked, often enough in IUCN's work. For example, meta evaluation results (IUCN, 2003b) show a failure to develop links between policy and practice, or to use IUCN networks. The meta evaluation found that projects are not adequately connected to a policy framework and that there is "a lack of knowledge management and learning strategy frameworks in place to synthesise, share and disseminate best practice... There is a need to improve communications, feedback systems, opportunities for dialogue and lessons learned from M&E work. There are inadequate resources allocated to M&E learning efforts... and there is a need to strengthen PM&E capacity at country and regional levels to capture and use knowledge generated from projects and evaluations".

It is thus also particularly important to link evaluation results effectively from project to institutional level. The foundations for this need to be laid in project design, as such linkages are difficult to create retrospectively. Without them, IUCN is severely constrained in its intention of linking policy and practice. Project design should always specify how the outcomes will feed into the overall outcomes of the programme within which they fall, and thus into the relevant KRA of the Programme as a whole. The bigger challenge is then to learn at programme and institutional levels from the experience of projects as they strive to achieve these outcomes.

The Secretariat has launched several innovations in the systematisation and dissemination of knowledge during the current Programme period. It has focused particularly on developing better information management systems for internal and external use, including PIMS and its project and programme reporting and monitoring systems (section 3.4). IUCN's web site is now an attractive and dynamic source of information and news (rather than structured knowledge) about issues that concern the Union and the ways in which it is addressing them. The internal 'Knowledge Network', accessible only by password, has developed into a useful and diverse resource for those within the Union with access to it. But it remains more of a data base for the organisation than a source of knowledge to be deployed in the management, execution and monitoring of Programme strategy. This has been confirmed by programme co-ordinators' comments, as well as by respondents to our survey (Figure 6), who said that they seldom use the Knowledge Network for their programme planning. Of course, as with all such information systems, the value of the Network is a function not only of its technical design and management but the enthusiasm with which its users feed material into it. A brief scan of the Network suggests that that enthusiasm is not universal in the Secretariat.

**Figure 6. Sources of strategic information for programme planning**



Survey question 19 (Annex 2).

It is not possible for us to determine how effective IUCN's knowledge dissemination systems have been. According to responses to question 20 in our survey (Annex 2), by far the most common mechanism for

promoting the use of the knowledge generated in meetings and workshops – verbal dissemination, in other words, as opposed to the written form. Many documents and publications were produced as well, of course, and the various web sites served to disseminate knowledge too. The (cost-) effectiveness of these various dissemination mechanisms in reaching their intended audiences should be reviewed. This could not be done in depth by the ER.

So far, then, the Secretariat's achievements consist more of information management than of knowledge management. There have also been relevant developments elsewhere in the Union. Major progress has been made with some Commissions' knowledge management systems, notably the Species Information Service of the SSC. ORMA's National Networks (REDNAs) are a pioneering example of gender knowledge and learning networks that span the Secretariat, Members and partners in Meso America. SUR's web site offers a variety of Member and staff services on line.

The Commissions are the established bastions of knowledge in the Union, and are traditionally viewed as a key part of its unique character and comparative advantage. The question raised in the 2000 review of four of them (Bruszt and Turner, 2000), and not yet satisfactorily answered in the policy of the Union, is how much of a role they will play in the rapidly developing world of knowledge management and networking that IUCN must engage if it is to retain its comparative advantage as a knowledge-based organisation. The fact that no Commission has ever been abolished and that no new Commission has been created for 33 years (although some names and mandates have changed) does not make us sanguine on this point.

Nor does the current Programme answer this question satisfactorily. Despite its admirable clarity on the role of knowledge generation, integration, management and dissemination in the overall strategy of the Union, and its many references to Commissions helping to achieve its intended results, the Programme does not explain how Commissions should function as they step with the rest of the Union into the new millennium. Its KRA 7 (management and leadership of the Union) has a result for 'information management', specifying the tasks of the Information Management Group, but not for 'knowledge management'. The 2000 Business Plan for operationalising the Programme does not help either. It simply quotes the strategic questions raised about the Commissions by the 1999 ER and the 2000 review of Commissions, referring also to the intention of the SSC to carry out a study of voluntarism. The last four years have seen increasingly detailed analysis, and steadily wider recognition, of the governance problems of the Commissions. We return to these issues in section 5.6 below.

In contributing to the 2005-2008 Programme, the Commissions will be contributing to what is now, following the Council's recent decision, the single, integrated Programme of IUCN. They have been active in many aspects of the current Programme too. Some of its component global thematic programmes, notably in education and communications, species work, protected areas and law, are already closely integrated with the work of the respective Commissions. But these interactions occur mainly at headquarters level. In a regionalised and decentralised Union in whose Programme Members are expected to play an increasingly prominent role, much of the knowledge management work must be articulated with regional and country offices and with Members. Overall, Commissions contribute little to this at present. Those that have regionalised their own structure and operations have created regional structures and geography that do not match those of the Secretariat (not to mention the Union's statutory regions, which match neither). Meanwhile, the Commissions' leadership of their respective fields is far from assured. The SSC, WCPA and the Commission on Environmental Law (CEL) are all challenged by other networks that sometimes prove more agile in serving the knowledge needs of contemporary conservation. Commissions never had a monopoly of knowledge delivery to the Programme. The challenge now is for them to retain a role in that process.

Significant work thus still needs to be done to build more effective knowledge management across the Union. The current Programme period has seen a broader acknowledgement of the knowledge management challenges facing IUCN. But it has not seen any coherent strategy emerge for that purpose. Recognising this, Council has now decided to undertake a comprehensive review of IUCN's knowledge management in advance of the Bangkok Congress. Some stimulating ideas for this review to consider are included in the first draft of the 2005-2008 Programme. It speaks of the Union's need for "rich disciplinary knowledge as well as a capacity to integrate different knowledge fields" in order to ensure quality delivery of its Programme. It



notes that the knowledge needed for resource management “goes beyond scientific knowledge to include traditional and local knowledge”. It calls for a “broad-based approach to generating knowledge [that] resonates with calls from new scientific communities and wider social movements in support of more pluralistic approaches to defining environmental problems and solutions – sometimes known as the democratisation of science”. Although much may change before the next Programme is approved, there are signs that it will be more supportive of improved knowledge management than the present Programme – at least at the conceptual level of framework and strategy.

We can suggest several themes for the forthcoming knowledge management review to consider. It should identify ways to integrate knowledge management more effectively into programme design, management and monitoring, as recommended above. It should address ways for IUCN to move beyond internal knowledge management to develop knowledge networks that link all components of the Union, and its partners, with the wider world. Organisational and operational means of stimulating knowledge generation should be identified, with a focus on quality. For example, through improved programme and project planning, the learning results to be achieved by each activity should be specified. Ways should be explored to make space for reflection and learning as core functions of any Programme activity, generating synthesised knowledge – for example, on best practice – for both external and internal use. The challenge is to interpret raw information and aggregate this where possible across activities and component programmes, further deepening understanding of the key issues that the Union seeks to address. Further means to stimulate knowledge transfer and learning across thematic and component programme boundaries will have to be found. Although IUCN is not and should not be a research organisation, it must have a strategy for engaging with research and staying at the cutting edge of knowledge advancement. Organisational and operational means of stimulating knowledge and learning should be identified: for example, the specification of intended learning results to be generated by each Programme activity, or the tasking of certain Secretariat staff as focal points for particular knowledge functions. The review should consider the issue of intellectual property rights in the context of IUCN knowledge management.

It might also be instructive for the knowledge management review to consider answers to the enquiry in our survey (Annex 2, question 20) about the main categories of knowledge generated through respondents’ programmes, and the mechanisms that best promote use of such knowledge. In order of overall importance, the (sometimes overlapping) knowledge categories that people felt they were generating were policy findings; field practice lessons and experience; scientific data; evaluation lessons; and the development of standards, guidelines, tools and best practice.

The current Programme has helped IUCN develop the concept of knowledge management, and has facilitated some programme managers’ early efforts to integrate knowledge and learning systems in their work. Building the concept into operating knowledge management systems that function efficiently across the Union is a far greater challenge. As an enabling framework rather than a resource allocating driver of the Union’s work, the current Programme has yet to achieve this. The Union recognises this with its intended review of knowledge management before the next Congress. We hope that the Bangkok Congress will see final endorsement of the knowledge management review, and not its first appearance. These issues also need to be addressed in the next round of Commission reviews, and in the next Programme Assessment Report.

**We recommend that IUCN aim to achieve effective knowledge management, rather than just information management, through its 2005-2008 Intersessional Programme. To this end, IUCN should expedite its forthcoming review of knowledge management so that its findings can be reported to the next Congress and fully used in the 2005-2008 Programme.**

### 3.4. Monitoring and evaluation

IUCN is committed to being a learning organisation. Monitoring and evaluation are therefore critically important functions for it. We have tried to assess the extent to which the current Programme framework and strategy facilitate these functions, and the extent to

*To what extent are the improvements in the Evaluation system adequate to support improved management and delivery of the Programme?*

Evaluation matrix.

which the development of the M&E system has helped support improved management and delivery of the Programme.

Establishing and institutionalising M&E across an organisation like IUCN is an enormously complex challenge. Nevertheless, the Monitoring and Evaluation Initiative (now part of the Programme Planning and Evaluation Team) has made good and systematic progress with the five stages of developing M&E that were identified when it was launched in 1997. The Initiative has now reached the fifth stage, of strategically linking M&E into organisational assessment, and has started submitting syntheses of evaluation results from around the Union to Council and senior management. A milestone in 2001 was the approval by Council of the IUCN Evaluation Policy, which confirms that “evaluations are formal activities of IUCN”; that “all evaluations... should contribute to the overall Programme and goals of the Union”; and that “evaluations are a vital responsibility of IUCN managers... as well as a key responsibility of the IUCN Council”. It specifies two functions for evaluations within IUCN: their use “as part of the *learning* environment” for IUCN and its members; and their role “as part of the Union’s accountability system” (IUCN, 2001b: 1-2).

Having taken care to adopt the highest international standards and work with leading evaluation specialists, IUCN is building an M&E system that will rank with the best in the world. The Secretariat now undertakes all the types of evaluation specified in the 2001 policy (see box).

Meanwhile, in a laudable effort to upgrade evaluation in the Union, the M&E Initiative has now commissioned two ‘meta-evaluations’ that analyse groups of evaluation reports produced by IUCN. The second of these indicates that the quality of IUCN evaluations has improved since the first ‘meta-evaluation’ in 2000 (IUCN, 2003a). Not surprisingly, many challenges remain.

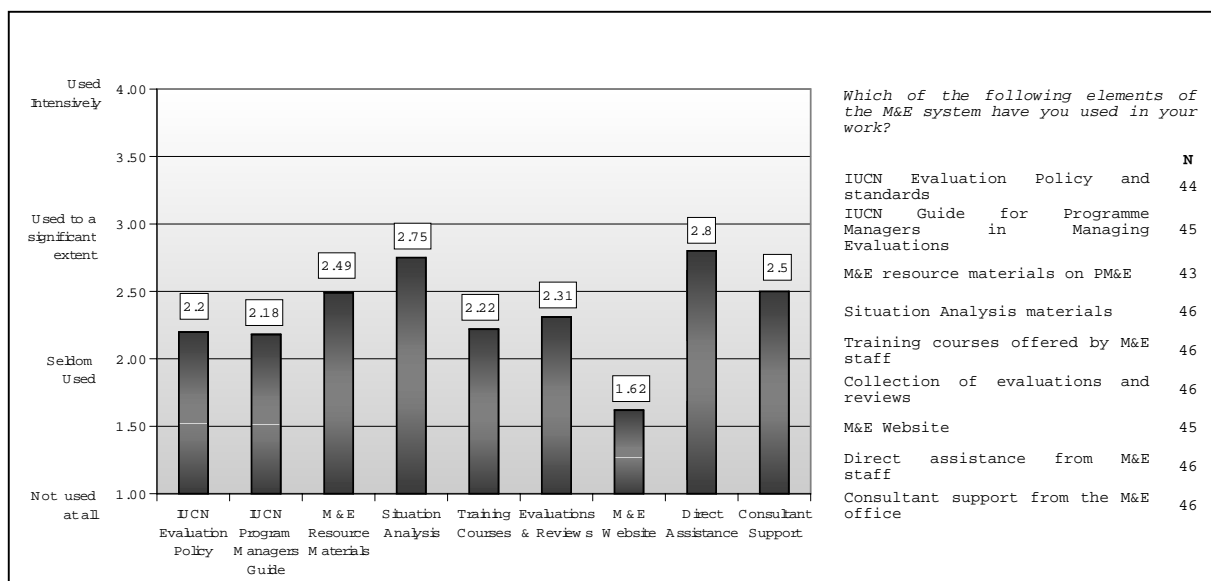
#### Types of evaluation undertaken by IUCN

- Meta evaluation
- Synthesis evaluation
- Policy evaluation
- Organisational evaluation
- Programme (thematic) evaluation
- Project evaluation
- Strategic review
- Self-assessment

IUCN, 2001b: 5.

Evaluation is not usually a popular function in organisations like IUCN. That it is widely embraced by the Union’s staff is a tribute to the way in which it has been introduced and developed. **Nevertheless, it is not yet clear that the information now being provided by M&E has made much of an impact on strategic decision making, or that evaluation is having a significant impact on senior agendas in the organisation.** Responses to our questionnaire survey (Figure 7) confirm the limited use that programme coordinators and regional thematic heads make of many elements of the evaluation system. While much has been done to mainstream M&E at all levels of project and programme management, it remains a key challenge to ensure its integration in those agendas. Evaluation still has to be more fundamentally accepted and used across IUCN. Part of this change will be the recognition that the learning *process* of evaluation is important, not just its findings. Some evaluators argue that the way in which evaluations are done is at least as important as their content, if their acceptance and use are to be ensured. This aspect deserves more attention in IUCN.

Introduction of the current Intersessional Programme coincided with stage 3 of M&E system development, which was building an institutional framework for M&E in the organisation. There was symbiosis between these processes as M&E systems adjusted their level of scope, focus, standards and overall utility to complement the new Programme. There is a gradually increasing use of tools such as situation analysis and well-being assessment that go beyond conventional project and programme assessment, although Figure 7 shows that use of the various elements of the system is modest in most cases. Predictably, the element most commonly used is ‘direct assistance’.

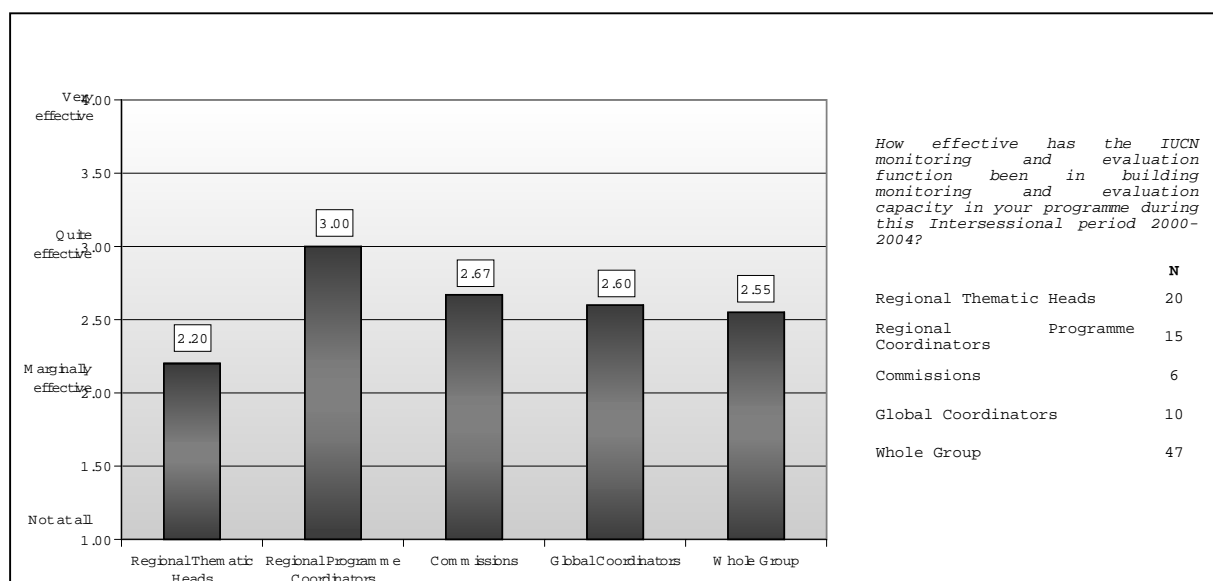
**Figure 7. Use of the elements of the M&E system**

Survey question 22 (Annex 2).

The very valuable series of organisational assessments undertaken in recent years generate lessons on governance, the Union's business model, institutional alignment, organisational capacity and issues of adaptation and learning (IUCN, 2003b: 2-3). Subject to the imperfections of their planning and design (and the fact that many were launched prior to the current Programme), many individual project and programme evaluations consider questions of outcome, and some discuss impact.

To serve the Programme, the M&E Initiative has worked with the rest of the PPET to introduce planning tools, guidelines and standards that make the Union's work amenable to meaningful evaluation and supportive of effective learning. More remains to be done, however, in developing benchmarks and performance indicators that will permit aggregated measurement of performance across the organisation. The M&E system remains better at analysing the Union's operations than measuring or understanding their outcomes. There is still much confusion in the formulation and differentiation of activities, outputs and outcomes – which makes meaningful evaluation and learning difficult. We anticipate that there will be significant improvement in this regard as the 2005-2008 Programme and its thematic and regional components are formulated.

An important part of the M&E Initiative's achievement has been to build M&E capacity across the Secretariat. Evaluations are not all directed from headquarters. Instead, M&E experts work hand in hand with programme managers in at least six regional offices, supported by systematic information and guidelines provided from the Initiative at headquarters. This global group often works as a team and has developed into a connected network of expertise. This is a commendable approach that has particular benefits in developing countries, where M&E capacity is typically weak. Regional programme co-ordinators, in particular, felt that the system had been 'quite effective' in this regard (Figure 8). But regional thematic heads were less impressed with what has been achieved.

**Figure 8. Effectiveness of the M&E system in building capacity in component programmes**

Survey question 24 (Annex 2).

Although the M&E Initiative has worked with most of the Commissions, its role in supporting Members needs to be clarified. If the resources were made available, the Secretariat could make an enormous contribution to building M&E capacity across the Membership. There is also scope for achieving better synergy with donors' evaluation approaches and systems, as is happening when IUCN and donors undertake joint evaluations. This helps relieve the burden on programme staff, who currently have to service many different reporting and evaluation requirements.

At global and management levels, the Union's learning about the outcomes and impacts of its work still lacks the structure and content that its M&E systems ought to give it. Ideally, Council and senior management (and External Reviews!) would find this learning summarised in the annual synthesis reports. The M&E Initiative recognises the importance of this and has proposed to do it (IUCN, 2002a: 2). But the 2003 Evaluation Report, even when it is summarising the 70 programme and project evaluations undertaken in the previous year, speaks about how the Union does its work, not about the effectiveness or impact of that work. Although its conciseness is laudable, the report's nine lines on lessons learned about poverty and livelihoods are inadequate. The 2000-2002 'meta-evaluation' says that "no attempts were made to analyse the contents of the [evaluation] reports [under review] with respect to the achievement of the identified KRA(s)" (IUCN, 2003a: 17). For the Union to know how effective it is being in each of its intended KRAs would be an enormous step forward – although the broadness of the KRAs makes this difficult. Much more meaningful still would be for it to be able to summarise its learning about the effectiveness of each of its three strategies. And, incidentally, that sort of evaluation would make it possible for an External Review to do what we have been asked to do (Annex 1), and cannot: to "assess the... effectiveness... of the IUCN Intersessional Programme strategy".

The location of the M&E Initiative within the Secretariat is problematic. Although it makes an invaluable contribution to the quality of Programme planning and management from its present position under the Director: Global Programme, it is not optimally placed there for the services that it should also be providing (and sometimes does) to the Director General, to the Corporate Strategy Group, to the financial and human resource services and to the Council. IUCN should seriously consider relocating the M&E Initiative as an independent Unit reporting directly to the Director General and/or the Council.

Despite the importance of M&E to an organisation like IUCN, and the widely acknowledged quality of the M&E Initiative's work, this function continues to be under resourced. IUCN has not implemented the recommendation of the 1999 ER that the Union "commit adequate and sustained resources" to it, although it confirmed in its Action Plan on that ER that it would. The budget allocation to M&E fell by about 22%

between 1998 and 2000; rose by a similar percentage in 2001, and fell in the two following years to 71% of the 2001 level in 2003, when it was CHF 655,484. Echoing the 1999 ER,

**we recommend that, in order to give greater emphasis to evaluation, reflection and learning in all its Programme and component programme activities, the Union commit adequate and sustained resources to complete and consolidate its recent impressive achievements in building monitoring and evaluation systems and capacity.**

In this way, IUCN can achieve its intended quality as a learning organisation and have constant access to evaluation of the effectiveness and impact of its Programme. Ultimately, IUCN M&E systems would not only provide constant feedback on the effectiveness and impact of the Programme; they would also link into strong IUCN contributions to global assessment of human and environmental well-being. Then, IUCN would have clear knowledge of whether it is getting closer to its vision.

### **3.5. New progress: preparation of the 2005-2008 Intersessional Programme**

When the current Intersessional Programme was launched, it was intended to provide a strategy and a conceptual framework for the whole decade. It was envisaged that the 2005-2008 Programme would not take a totally different approach, but would be a revision and enhancement of its predecessor. Given the generally positive impact of the 2001-2004 Programme, **we endorse** IUCN's decision to proceed as planned with a 2005-2008 Programme that evolves from the previous one rather than totally restructuring it. As we noted in section 3.2, the new Programme is currently in first draft. It would be premature and inappropriate for us to comment in depth on this draft at a time when it is being reviewed throughout the Union and will go through further drafts later in the year.

Overall, it is encouraging to see that the draft 2005-2008 Programme presents further conceptual and strategic improvements over its predecessor, notably in the clearer presentation of the KEG strategy ('O' has been dropped) and the relationship of the now five thematic KRAs (the sixth is 'programme delivery') to the three pillars of sustainable development. There is clear reference to how the new Programme will help alleviate poverty, help the world work towards the Millennium Development Goals (MDGs), and maintain IUCN's commitment to the CBD. As we noted in section 3.2, the conceptual logic of the KRAs and their component results has been re-examined, and the current proposal is to have 23 results compared to the current Programme's 59.

The programming process adopted for 2005-2008 benefits from previous experience and shows much greater potential for enhancing the synergies between the components of the Union, in both the preparation and also the execution of the next Programme. It should thus be the first Programme that addresses some of the concerns raised as long ago as the Buenos Aires and Montreal General Assemblies about how the Union should work after its intensive period of regionalisation and decentralisation. Careful guidelines have been circulated on how component thematic, regional and country programmes should be drawn up, including the requirement for situational analysis and detailed consultation with Members. The new process balances a top-down approach that is flexible enough to enable regional and thematic variation (yet focused enough to provide direction), with a bottom-up planning process aimed at harmonising component programmes from the outset with the overall Programme framework. The evolution of the consultative programming process in IUCN has led to an approach that can now serve as an exemplary model of inclusive and evidence-based planning. We emphasise in particular the opportunities that now exist for more meaningful involvement of both Northern and Southern Members in Programme preparation, enhancing their ownership of the Union's work over the next quadrennium.

One common planning element that we have not seen in either the current Programme or the draft of the next one is a statement of assumptions. Although it is difficult to reduce IUCN's work to logical framework format, it would help both planning and evaluation to state the assumptions underlying expectations of success, at both overall Programme and component programme levels.

Despite these encouraging signs that the 2005-2008 Programme will be a substantial improvement over the current one, several key challenges to the Programme remain to be addressed. Unless they are successfully

tackled, there will continue to be dangerous gaps in the institutional and operational logic of IUCN, and the organisation's financial viability in the medium to long term will be far from certain.

### 3.6. Key programme challenges

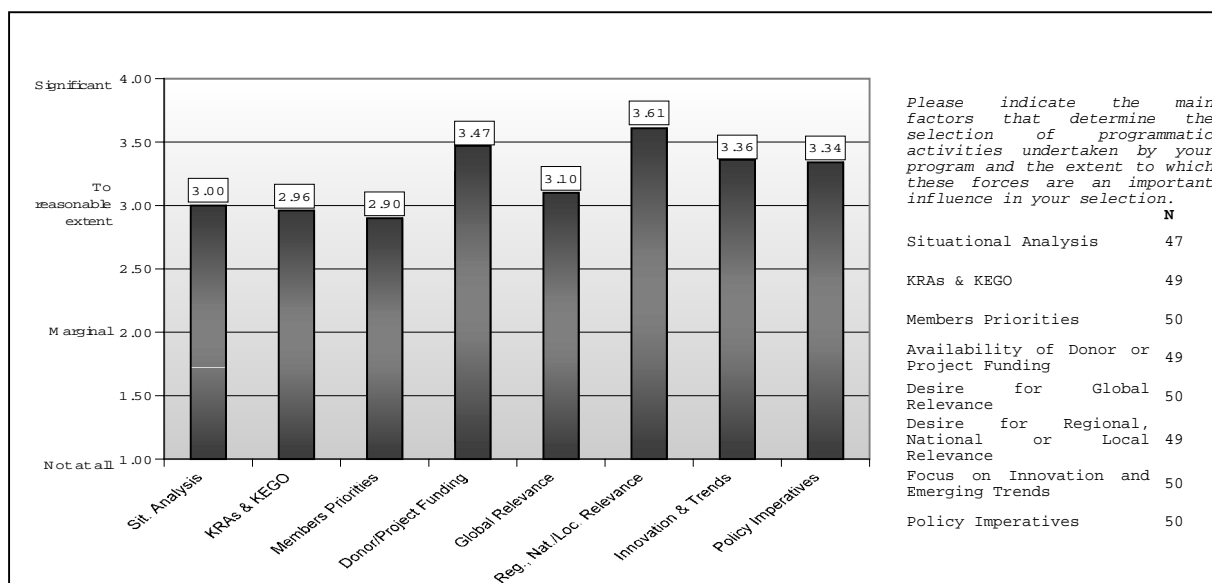
#### 3.6.1. What drives the Programme?

One question in our evaluation matrix asked *to what extent does IUCN make use of its extensive knowledge base to direct its operations and Programme strategically, and how responsive is it in this respect?* While we try to answer this question here, we go beyond it to consider the more fundamental question of whether programmatic considerations are really what drives the choice of activities that the Union undertakes.

IUCN acknowledged from the outset that the 2001-2004 Programme would be imperfect in its allocation of effort among KRAs or in its achievement of the intended strategic sequence from knowledge through empowerment to governance. It is not easy to track performance in this regard. Although PIMS and the Knowledge Network can produce many tabulations of how each activity across the Union matches up with KRAs, KEGO, biomes etc., the degree of likely miscoding at present makes reliance on those data risky. However, it is well known – and acceptable – that the distribution of effort and expenditure across the KRAs is uneven, with KRAs 1 and 2 receiving the bulk of the resources and KRAs 4, 5 and 6 much less. Furthermore, some results within the KRAs are the object of little activity, and some of none at all. This experience has been taken to heart in the current preparation of the 2005-2008 Programme (section 3.5), for which it is proposed to cut the number of results by more than half.

Responses to question 15 in our survey (Annex 2) do indicate that in at least ten component programmes there has been a definite shift from activities focusing on Knowledge to those emphasising Empowerment and Governance. But to help understand the role of Programme design in this trend, and to gain a fuller picture of what drives the selection of activities within the Programme, we turn again to the survey and to interview information. Drawing on the survey, Figure 6 above shows that a variety of sources of information are used in component programme planning. In their *planning* activities, programme co-ordinators clearly take cognisance of the rich base of information available to IUCN both internally and through its external networks and partnerships. But the eventual *choice of activities* for component programmes is determined by a range of factors, as Figure 9 shows.

**Figure 9. Main factors influencing the selection of activities**



Survey question 3 (Annex 2).

The most important influences across all the component programmes were found to be the desire to be relevant and the availability of donor funding. Of the eight factors posed in the questionnaire, the Programme framework and Members' priorities were reported to be the least influential, although the variance is modest and even these factors were on average said to be reasonably influential. The availability of funding for IUCN activities remains a primary driver for their selection and inclusion in the Programme. This was confirmed in nearly all interviews with programme co-ordinators. In practice, much component programme planning is motivated primarily by the need to raise funds to keep the IUCN 'machine' in operation, and only secondarily by the imperative of executing the Programme. Analysis of the geographical distribution of the Union's expenditures also suggests that the Programme is driven more by the availability of funding than by the strategic direction that the Programme ought to be providing for work in, for example, areas of major biodiversity concern or societies with large global ecological footprints. In section 6.4 we suggest that matching Programme priorities with resources would be easier if the Union worked with a broader range of funding sources than the development agencies on which it has largely depended in recent decades.

At present, the Union's Programme provides an admirable conceptual framework within which enterprising managers throughout the Secretariat can develop their portfolios of work and funding. But, especially in those many regions of the South where the Secretariat now has substantial staff and infrastructure, and especially where work continues to be structured and funded on a project by project basis, the strongest driver of that development is not the Programme, but the need to secure new business to maintain the staff and infrastructure. This tends to feed further growth in staff and infrastructure, which feeds the compulsion to secure more new business. Programme co-ordinators have told us what is anyway plain to see: almost any of the business for which IUCN so successfully competes can be justified in terms of the current Programme.

The internal, self-justifying imperatives of the 'project machine' are thus much more compelling drivers of the Union's current work than the Programme itself. A core reason for this is the project-by-project character of much of the funding for that work, especially at regional and country levels. It is encouraging to see, especially at global level, that increasing amounts of more programmatic or 'framework' funding are now being provided to IUCN. A number of these larger-scale, longer-term funding agreements quote directly from the text of the Intersessional Programme to describe the kinds of work that they will resource. This kind of funding gives IUCN the discretion to choose its work according to the priorities it has identified in its medium-term programming, rather than the short-term exigencies of the 'project machine'. It naturally poses new challenges at many levels. In programming terms, it means that managers must move beyond the comfort zone of the overall Programme's conceptually admirable but operationally permissive framework to more detailed rationalisation and direction of the work they choose to do. It is more demanding of management and M&E skills. But **we strongly endorse** this trend as the way for the Union genuinely to direct its activities in terms of its Programme. There are good signs that donors endorse the approach too. The Nepal country programme is already entirely funded on this basis. The Eastern Africa and Meso America regional programmes have both received strong positive signals of donor willingness to fund some of their work in the same way. A country programme with which framework funding could align perfectly is Uganda, although clear donor commitment to such support has yet to emerge. **We urge** that this commitment be given.

The immediate priority is for IUCN to embrace and promote donor willingness to provide such funding at all levels of Secretariat operations, and gradually to withdraw from the project market. The 2005-2008 Programme will provide an opportunity for IUCN to adopt this kind of revised business model. The donors should help IUCN to seize it. This does not necessarily mean an increase in global framework funding. It should also mean more regional and country-level framework funding agreements between IUCN and donors, some of whom may fund such agreements from other resources than those used for the global framework agreements.

**To achieve stronger focus and co-ordinated impact in pursuit of its mission, we recommend that IUCN apply a Programme resourcing strategy that focuses on medium-term framework funding at global, regional and country levels, and adjust its design, management and M&E capacities accordingly. IUCN's donors should treat this as a new and better opportunity to work more systematically towards their own objectives and those of the Union's Programme.**

If IUCN and its funding partners achieve the recommended resourcing strategy for the Union, the Programme will be driven by its own strategic priorities, and no longer by the need to keep the wheels of the 'project machine' turning.

### **3.6.2. Who executes the Programme?**

IUCN's Regulations state that

*IUCN shall pursue its objectives through an integrated programme of activities, formulated, coordinated and implemented by the members and components [the World Conservation Congress, the Council, National and Regional Committees and Regional Fora of Members, the Commissions and the Secretariat] of IUCN. The Programme shall be adopted by the World Congress and be reviewed annually by the Council.*

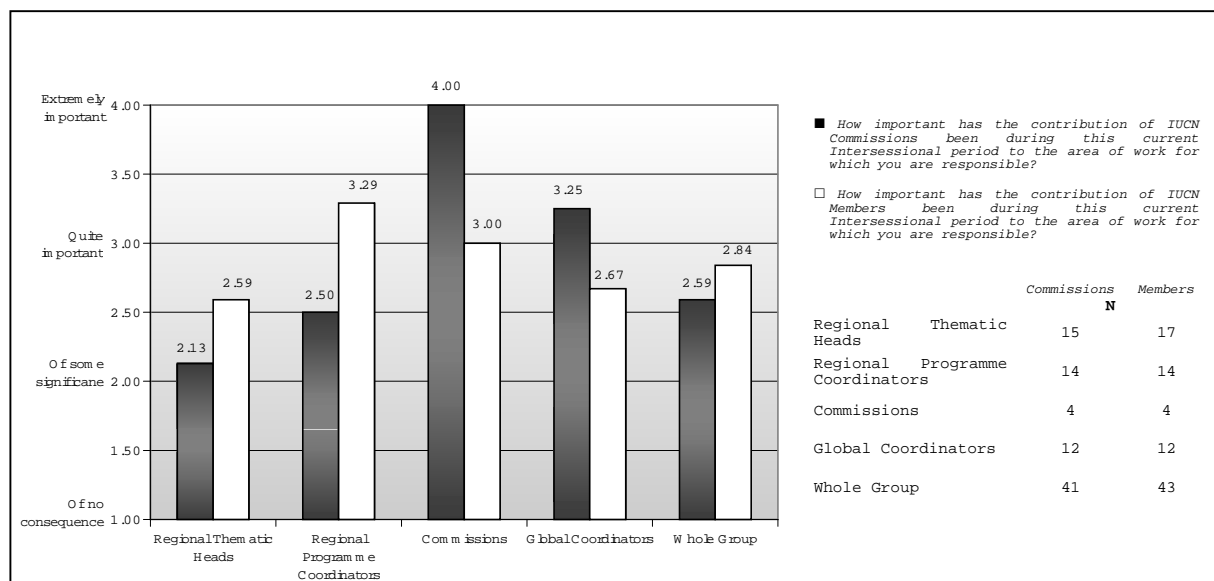
[IUCN Regulation 2.]

In practice, Members' involvement in Programme execution is partial. The Secretariat (led by the Director General, who is responsible for implementation of the Programme) encourages Members to participate in projects where they have the capacity to do so. Although their efforts to involve Members in the Programme have been intensifying, regional and country offices of IUCN pursue this principle with differing degrees of enthusiasm, often citing Members' lack of capacity and the operational difficulties of involving them in projects that typically have strict performance criteria and tight deadlines. For example, there is Member involvement in all but one of the projects of the Eastern Africa programme, but there is no doubt that that programme is largely driven and delivered by the Secretariat.

Most of what Members do lies in the 'white' of the IUCN 'egg' (section 3.2). In fact, the Union has never executed its Programme in the manner laid down in the Regulation quoted above. Originally, it was the Commissions that did most of the co-ordinated work (Holdgate, 1999: 67). The Secretariat was tiny, and had hardly any resources for work of its own, although - then as now - it managed to do more than seemed possible with what it had. Now, the Secretariat has substantial resources, and its work constitutes the bulk of the Programme. Although still highly significant and increasingly integrated with the work of the Secretariat, the efforts of the Commissions are no longer the core of the Programme in the way that they originally were. Now, as then, although constitutionally central to the Union, the Members lie at the periphery of its Programme. Measures to involve them more closely are set out in the recent Membership Policy Guidelines, which specify *inter alia* that the Secretariat should "collaborate with members in the implementation of the IUCN Programme at the global, regional and national level" (IUCN, 2001d: 8). But these measures are not yet fully implemented.

Our questionnaire survey asked how important the contributions of Commissions and Members had been to the component programmes for which respondents were responsible during the current intersessional Programme (Figure 10). Opinions differed, although overall the group considered Members' contributions to have been slightly more important than those of Commissions. Not surprisingly, respondents from or working closely with Commissions scored those bodies' inputs very highly. It is interesting that regional programme co-ordinators scored Members' contributions as significantly more important.



**Figure 10. Commissions' and Members' contributions to component programmes**

Survey questions 25a, 26a (Annex 2).

The larger and better-resourced Members (mostly in the world's richer countries) dispose jointly of a far larger budget than the IUCN Programme and use it for enormous volumes of work that overlap significantly (though far from completely) with what IUCN seeks to do through that Programme. Much of IUCN's Programme is undertaken in developing countries, where Members are often weak. In countries where Members are strong, the Programme is weak.

The simple reaction to this is to say that IUCN's more powerful Members in regions like Europe and North America can pursue the Union's vision in those areas, while IUCN's own Programme focuses on regions where there are few Members or the Members lack capacity. This view, underpinned as it is by the fact that much of IUCN's current resourcing comes from development funding agencies (Chapter 6), is inadequate. The Programme could become far stronger and more effective globally if it harnessed the commitment and resources of Members in rich countries to address their domestic environmental agendas (including their nations' global ecological footprints) in the name of IUCN, and to advocate IUCN's policy positions to their governments for adoption in international environmental governance.

Another reaction is to say that the IUCN Programme is only a fraction of what the Union does, and that the far bigger programmes and expenditures of the stronger Members are also part of its struggle to execute its mission. If that is the official philosophy of the Union, it is not clearly articulated and it means that the value and impact of IUCN is being massively under-communicated. In any event, the key principle should be that IUCN's Programme, or the agreed total package of work in pursuit of its mission, should involve as much effort in Europe and North America as it does in, say, Africa and Asia.

We prefer to suggest that IUCN should have a more thorough and explicit strategy for the pursuit of its mission and the allocation of roles to its Members and 'components'. This strategy should, first, say whether execution of the mission and implementation of the Programme are coterminous. Whatever choice is made, the strategy should then adopt an evolutionary approach to the role of Members, making it clear that as Member capacity grows in a country or region, the role of the Secretariat diminishes – but remains vital.

We lack the space here to explore all the possible permutations of such a strategy. Any approach to Member involvement in the Programme should of course recognise the enormous diversity of the Membership. To begin with, it should differentiate between the capacities, interests and potential roles of State Members, government agency Members and NGO Members. It should also take into account the varying socio-

economic, political and scientific stance, context and capacity of Members around the world. Above all, it should allow for the real differences in Members' levels of interest and commitment with regard to operational involvement in the Union's Programme. Not every Member would accept a stronger role if it were offered. Nevertheless, it should be feasible to apply the broad principles that we recommend, while retaining, even in areas with strong Members, an essential co-ordinating, balancing function for the Secretariat. Without such a Secretariat role, it would prove impossible to achieve the consensus and direction necessary for a meaningful Programme. Nor would it be possible to maintain the reputation for neutrality on controversial issues that the Secretariat has usually enabled IUCN to achieve.

The Secretariat will protest that it is hard enough to manage the Programme as it is, without expanding it and complicating it by even broader and more intensive involvement of Members than it has already committed itself to. In regions where Members are well resourced, capable and appropriately committed to joint action, one answer might be adjunct programmes that are agreed as components of the overall Programme but allocated to (groups of) Members for execution.

South America presents a different, but related challenge. Members have resisted a strong role for the Secretariat in Programme execution, but have not taken (or been given) that role themselves. According to a 2001 strategic review (IUCN, 2001e), the 86 Members in the region are strong. There were 821 Commission members. The Secretariat therefore focused on facilitating the design and support of regional initiatives in areas of global importance, and on working with regional and national committees. But it is clear that Programme coverage on this ecologically vital continent is far from adequate and that Secretariat presence remains minimal. Once again, we must challenge the Union as a whole to resolve who executes the Programme, rather than tolerate the current inadequacies.

Throughout its 55 years, there has been a constitutional disconnect in IUCN's way of working. It is a Union of Members; yet its Members play a far from central role in its Programme. It has achieved great things despite this illogical arrangement. Does it really need to change it? We believe that it does, if it is to sustain and build its credibility and increase its impact, which is still limited in many parts of the world. IUCN will never execute a truly global and effective Programme if its Members do not play a more central and clearly articulated role in it.

Ideally, the primary role of the Secretariat should not be to execute the Programme, but to stimulate, balance and supplement Members and the Commissions in execution of the Programme. The Union's strategy should be clearly focused on achieving this arrangement. The role of the Secretariat should be designed from region to region to allow for the differing degrees of development in this direction. If the Union is to be true to its constituted character, Members' commitment, capacity and role have to be central to the design and delivery of its Programme.

**We recommend that IUCN give careful consideration to strategies that will enhance its global coverage and pursuit of its mission through more central involvement of Members in the Programme, where Member capacity and commitment permit.**

### **3.6.3. Programme management**

Introduction of the current Programme posed a number of new organisational and management challenges to the Secretariat, some of which are discussed further in Chapter 4 below. Among others, an effective programme management cycle had to be established at overall Programme and at component programme levels, incorporating situation analysis, planning and design, project/programme approval and implementation, monitoring, reporting and evaluation. As before, the Director-General is responsible for the implementation of the Programme as approved by Council and the Congress, with Council and its Programme and Policy Committee providing oversight. Regional and country programmes, although appearing as independent managerial and budgetary entities under their respective regional and (in some cases) national directors, are integral components of the overall Programme. They follow the same KEGO strategy and KRA framework, and use broadly similar planning and monitoring procedures. Significant progress has been made across the Secretariat since 1999 in integrating and harmonising these structures and procedures. The Programme and Policy Group, whose 40 members are globally representative of the Secretariat, helps to stimulate and shape this integration, and is assisted by the Programme Planning and

Evaluation Team. The Project Approval Committee (PAC) has been used to check that proposed activities conform to the Programme strategy and fit within the KRAs. It does this for projects of global programmes and for activities proposed by two regional programmes. All other regional programmes have their own review systems that perform the same function. Some predate the PAC but are broadly in line with its approach and criteria; others have adopted PAC guidelines directly. A Programme Management Manual was developed and a Programme Information Management System installed to serve as the database of the Programme. This system was later integrated with IUCN's internal Knowledge Network.

At headquarters, the Secretariat has continued to seek the best thematic structure for Programme delivery. Recognising the increasing centrality of livelihoods and ecosystems paradigms in the Programme, it has placed most of its thematic expertise, with its growing representation of these perspectives, in an 'Ecosystems and Sustainable Livelihoods' Group. IUCN's growing profile in and commitment to international environmental governance (section 7.3) is reflected in the creation of a 'Policy and Global Change' Group, comprising a new Policy, Biodiversity and International Agreements (PBIA) Unit and the Environmental Law Centre, both of which have deep roots in the formulation and facilitation of multilateral environmental agreements like the CBD.

In spite of these improvements, several important weaknesses persist in the management of IUCN programmes and the Programme overall. This has been confirmed both by the ER questionnaire survey and the recent IUCN meta evaluations. In sections 3.3.1 and 3.3.2 we pointed out that IUCN still has a long way to go before the potential synergies between IUCN components are fully developed and the Programme is truly a Programme of the Union as a whole. We found that the Programme remains largely a facilitative and justifying framework rather than a directive force for component programme activities. In section 3.3.4 we argued the need for a clear results chain in the overall Programme and component programme strategies. We pointed out that the meta evaluation results showed an urgent need for the strengthening of project planning and design, for the improvement of learning frameworks and for the strengthening of PM&E capacity at country and regional levels to capture and use knowledge generated from projects and evaluations. Our analyses in this chapter of survey results as well as interview comments further indicated that the Programme framework (section 3.3.1), PIMS (Figure 6), parts of the monitoring and evaluation system and evaluation results (Figure 7) are not used as extensively as could be expected. Interviews and documentation have also not convinced the ER team that component programmes are designed with a clear strategy in mind as to what needs to be achieved over a certain period, and how. This has been confirmed by the acknowledgment by the majority of programme coordinators that the need to generate project funding remains the primary driving force for the selection of programmatic activities (section 3.6.1).

Since 1999 much effort has gone into strengthening the overall IUCN Programme. We believe that there should now be a strong focus on ensuring the effective management of the component programmes in order to achieve IUCN objectives, while still also strengthening overall IUCN Programme management. The PPG and its Executive, with its supporting planning and M&E systems, provide good mechanisms to ensure an effective and integrated approach to IUCN programming. But these can be used to better effect. More effort, time and resources need to be put into working with programme managers to coach and train them for programme planning, monitoring and evaluation and for overall performance management. There also needs to be a stronger enforcement of standards in programme and project planning, monitoring and evaluation. While the PPG and its Executive could play a much more dynamic role in this regard, the global Programme office, the PPG and the PPET need to approach this as their collective responsibility.

**We recommend that IUCN continue to strengthen the focus, management and delivery of the Programme by turning now to enhanced and more consistent management of the component thematic and regional programmes. This requires strong and strategic leadership by the global Programme office, the PPG and its Executive, and the PPET.**

For the first half of the current quadrennium, structures for providing senior social science guidance to the Programme remained unsatisfactory. The Secretariat has now acknowledged that a separate unit or group or sub programme for social policy and related issues is inappropriate, given the growing integration of social and livelihoods issues in many of the originally natural science-based component programmes. Instead, Senior Advisers have been appointed to deliver, monitor and stimulate specific fields of social science

expertise (gender, economics and social policy) across the Union. It is not yet clear whether the right formula has at last been found. Three Advisers have adopted somewhat different strategies. One (on gender) is posted at a regional office (ORMA) and must also spend 40% of her time on that region's social programme, while the other two are at headquarters. (A global adviser on indigenous peoples operates from the South America office, and also has regional tasks as well as responsibility within PBI for the CBD.) It is clear that these global Advisers must adopt a structured and systematic approach to assessing the current state of the Programme from their various perspectives and then developing standards, frameworks, guidelines and materials to support component programmes. **We commend** the progress that the Senior Adviser on gender has made in this regard. At the same time, it is clear that these cross-cutting advisers cannot function effectively with the resources currently at their disposal. It is also apparent that there has been no satisfactory resolution of the issue of inputs to global programme management from outside Gland. The Senior Adviser on gender is grossly under-resourced (\$35,000 per year and 60% of her time). Senior Advisers' natural response to minimal budgets is to seek project funding, which can easily defeat the mainstreaming object of their positions. On the other hand, there is no compelling logic for the location of all global thematic programmes in Gland. In theory, decentralised global programme management would have budgetary, political and thematic advantages. In practice, the system is sub optimal for the few decentralised functions, and for some of the centralised ones too. We return to issues of how and where the Secretariat should grow in section 4.6.

**We recommend that, before the next Intersessional Programme begins, IUCN take stock of the strategies adopted by its Senior Advisers on socio-economic issues. It should refine, consolidate and to the extent appropriate harmonise these strategies, and specify M&E arrangements for them. Starting in 2004, IUCN should ensure that adequate budgets are available to these Senior Advisers and decide a strategy for more effective decentralised management of the global components of the Programme and the cross-cutting advisory services.**

Overall, the Secretariat has made good progress with the structural and managerial innovations required to support execution of the current Programme. Problems remain. But the 1999 sense that Programme management systems were a constraint to execution has disappeared. Instead, those systems now serve mainly as a stimulus.

## 4. The organisation and management of IUCN

### 4.1. The composition and structure of the Union

In order to illustrate the complexity of the Union, we begin by presenting data on its composition and structure. Additional data that further illustrate IUCN's complexity and dynamics will be presented in Chapter 6 below. In our description and analysis we have tried to describe all three strands of the Union's helix: not only the Secretariat, but also the Membership and Commissions, as an integrated organisational and management entity.

*...to assess progress made in strengthening... organisational and operational systems. In particular to assess whether... the new management structures and operational systems are well balanced to ensure effective management of a decentralised and regionalised Union.*

TOR, Annex 1.

**Table 2. The Membership of IUCN**

IUCN statutory region	Countries represented		Members	
	No.	%	No.	%
Africa	36	26	148	15
Meso and South America	18	13	156	16
North America and the Caribbean	8	6	113	12
South and East Asia	17	12	115	12
West Asia	11	8	56	6
Oceania	5	4	46	5
East Europe, North and Central Asia	21	15	63	6
West Europe	25	18	281	29
<b>Total</b>	<b>141</b>	<b>100</b>	<b>978</b>	<b>100</b>

Source: IUCN Membership List, January 2003.

Note: following further admissions by the Council in June 2003, the total number of Members is now 991.

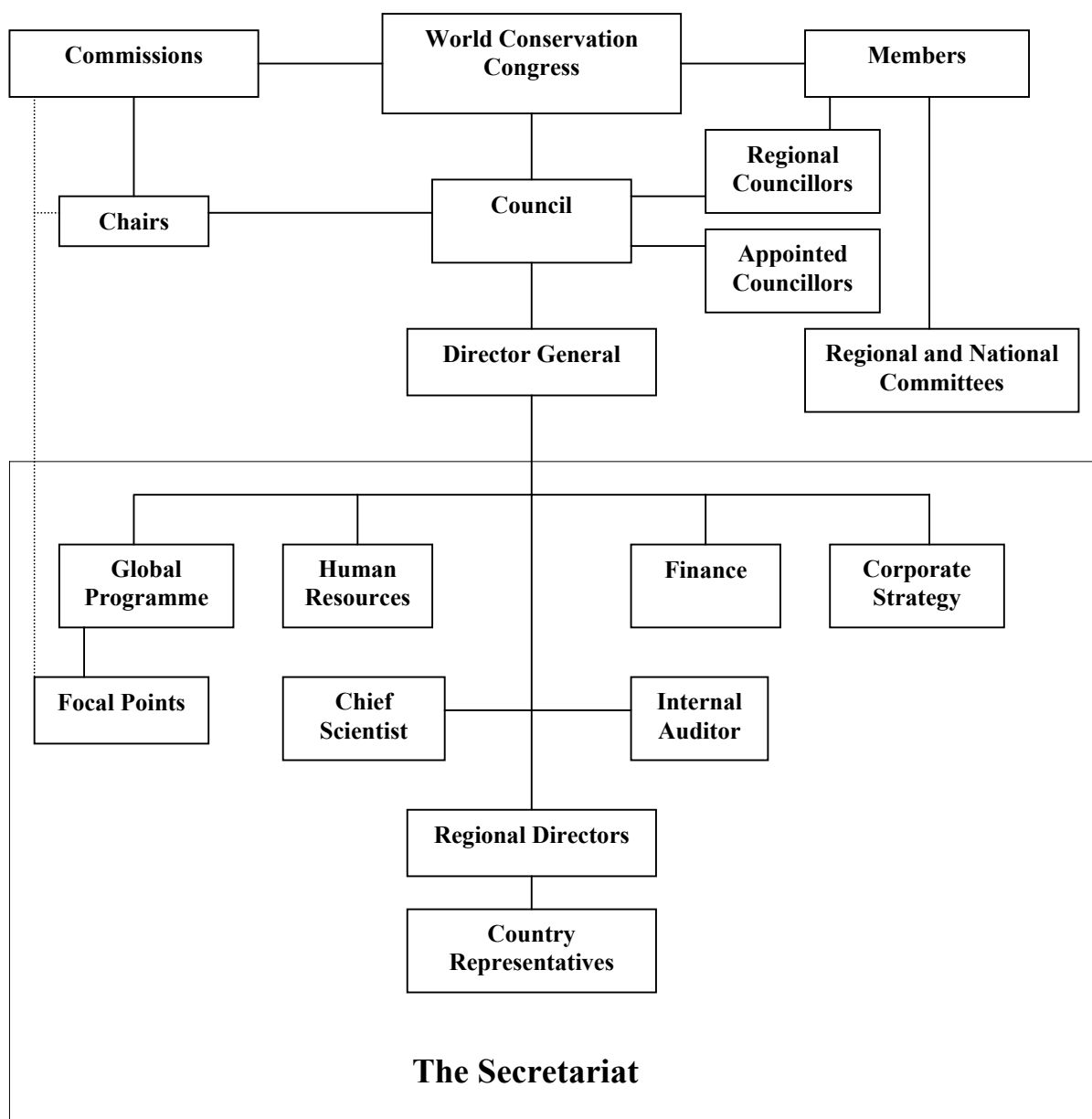
At present, 141 countries are represented in the Membership of IUCN, which has increased from 723 Members in 1993 to 978 in January 2003. Over this period, there have been no significant changes in the composition of the Membership. 71% are NGOs; 12% are Governmental Agencies, 7% are International NGOs, 7% are State Organisations and 3% are Affiliated Members. Of the total, 29% are from Europe, while only 5% are from Oceania.

At their own initiative and with subsequent recognition by the Council, Members are further organised at regional and national level. Since 1997, the Council has recognised four Regional Committees (West Africa, Southern Africa, Meso America and West Asia), and 39 National Committees. Another 16 National Committees and one Regional Committee are currently being constituted, but have not been officially recognised by the Council.

The concept of Commissions dates back to 1949, when the first Commission on Education (currently CEC) and the Species Survival Service (now SSC) were created. At present, IUCN has six Commissions. The youngest, CEESP, was set up (as the Commission on Environmental Planning) in 1969. The Commissions are voluntary networks, mainly of individuals, that are appointed at each World Conservation Congress for the period until the next Congress. The total number of Commission members is currently estimated to be 12-13,000, of whom the SSC accounts for 7,350 and the WCPA for 1,300. The organisation and management of the Commissions is regulated in the Statutes and Regulations of the Union, and has changed very little over the years.

The employed and contracted staff of the Union form its Secretariat. The Secretariat was set up as a tiny organ for service to and co-ordination of the Membership and the Commissions. But over the years, and especially since the 1994 Buenos Aires General Assembly, it has developed a substantial capacity for programming and implementing the activities of the Union. It operates at three levels – global, regional and national – and is organised accordingly, with a headquarters in Gland, regional offices in nine programmatic (as opposed to statutory) regions, and 19 sub-regional and country offices. The operational base of the Secretariat is much wider: IUCN programmes and projects operate in or reach nearly every country in the world. The number of staff in the Secretariat increased rapidly from the mid 1980s, but has been relatively stable over the last three years (992 in 1999, 1,119 in 2001 and 1,037 in 2002). About 85% of all staff are posted at regional and country level, with the remaining 15% located at headquarters and at outposted offices (Washington DC, Cambridge, Montreal, Malaga and Bonn).

The organisation of the Union, illustrated in Figure 11 below, is thus extremely complex. The governance (see Chapter 5) and the management of such a complex body demands very specific managerial concepts, tools and skills. Our discussion below is organised in terms of these specifics: strategic management; integration and co-ordination; regionalisation and decentralisation; and the role and position of key supporting functions.

**Figure 11. The organisation of the Union**

#### 4.2. The strategic management of the Union

Strategic management of the Union is vital in several key decision making areas:

- in determining the positioning of the Union (Chapter 7): its vertical positioning, especially the establishment and growth of IUCN's presence at regional and country level; its thematic positioning (determining and resourcing its heartland); and its institutional positioning, notably in establishing and maintaining critical partnerships;
- in setting resource priorities in the Key Result Areas of the Programme, between thematic areas and regions;

- in determining the roles and relationships of Members, the Commissions and the Secretariat in the design and implementation of the Programme;
- in managing the growth of the Union, and particularly in finding the appropriate balance between the global and regional structures of the Secretariat.

In trying to master the complexity of the Union and deal (or sometimes not deal) with its strategic challenges, Directors General have applied a range of organisational and managerial concepts. The dominant approach, however, has been the entrepreneurial one. Decision making in almost all of the above areas has been decentralised or delegated to the various organisational units and their leadership. Depending on the ideas, ambitions, capacity and capability of these leaders (Commission Chairs, heads of thematic programmes and directors of regional and country offices), and on the funding opportunities available to them, these units determined their own strategies for growth, programme priorities and institutional links. This resulted in fragmented and uneven development across the Union. The most important criterion in all these decisions has been financial. As long as a unit was able to manage its business without incurring losses, its survival was assured and its strategic choices were basically unquestioned.

While this situation still pertains in parts of the Union, important changes are on the way. The current Intersessional Programme, the recent agreement that Commissions' work forms an integral part of it, increasing use of framework finance mechanisms, the growing role of Members in programme planning and execution, and evolving project approval mechanisms are all examples of trends that are helping to drive the Union towards more comprehensive and systematic handling of strategic issues.

In 2001, the Council appointed a new Director General. His response to the fragmented growth described above was to enhance the administrative stability of the Secretariat, notably by restructuring the financial and human resources areas and by repositioning and strengthening some global functions of the Union. These moves have sometimes created the impression that the Secretariat is being re-centralised. Our general observations during this review, and our assessment of the policies and principles established over the last two years, suggest that although these changes may seem to impose some restrictions on decision making at regional level, they in fact create an appropriate balance between decentralised operations and management and the need for administrative consistency, compatibility and accountability in a global organisation.

Now that the most urgent administrative improvements have been achieved, the main challenge is to strengthen the strategic management of the Union. For this purpose,

**We recommend that the Council rebuild itself in order to give strategic direction to the executive management of the Union (section 5.4).**

Decisions in the strategic areas outlined above will form the future character of IUCN. The Chief Executive and his team need competent advice and guidance from the governing body of the Union.

**We recommend that the Director General examine his role in the context of his duties as Chief Executive of the Union, responsible for the overall execution of the Union's Programme and not only head of the Secretariat.**

Planning and implementation of the Programme by the Membership, the Commissions and the Secretariat will require intensified overall strategic management of the different components of IUCN. Stronger emphasis of the role of the Director General as Chief Executive of the Union may have organisational consequences in the top management structure of the Secretariat and the Union. For example, membership of the Director General in the new Bureau of the Council might be considered (section 5.4).

**We recommend that the Director General consider transforming the Executive Management Group from a basically operational advisory body into a strategic management team.**

This would mean changing the group's mode of operations from the current periodic telephone consultations to face-to-face meetings on the strategic direction of the Union. This is obviously a complex challenge in a decentralised organisation, and various solutions might have to be tested for the purpose.

### **4.3. Integration and co-ordination**

The complexity of IUCN's mission and structure, and the dynamic way in which it has to adopt new concepts and approaches to conservation, demand well developed mechanisms for integration and co-ordination. These processes take place at the individual and organisational levels (for example between groups and units) as well as at the institutional levels (for example in various forms of partnership and collaboration). The laudable intention to "deliver the biodiversity concept at the interface of the economy and environment (e.g. agriculture, mining, forestry and tourism)" that was expressed in the Secretariat's commentary on the 2002 Budget represents conceptual, thematic and organisational challenges to integration and co-ordination mechanisms – within the Union, and with outside institutions. Among the many integration challenges facing IUCN, we will focus on the integration of socio-economic and political competences in the planning and implementation of the Programme; the need for organisational and disciplinary integration in the context of the ecosystem and livelihood approach; and on interdependencies between organisational units with crucial Programme implementation functions.

The integration of socio-economic competence and knowledge in the Union has been an important item on the management agenda for almost a decade (section 3.6.3). The Secretariat has applied various models at regional and global levels, with varying success. The latest arrangement is the appointment of Senior Advisers for Social Policy, Gender and Economics in the Global Programme Directorate. In the regional offices, different solutions have been applied, ranging from specialist staff in these or similar areas to the use of consultants and institutional co-operation. In the design and planning of the Intersessional Programme at global and regional levels, the Secretariat's expertise has been able to help in conceptualising and integrating socio-economic aspects in the KRAs. The major challenge lies in the execution of the Programme by IUCN's hundreds of staff and consultants around the world. Addition of numerous socio-economic specialists to the Secretariat would not be a practical, and in particular would not be a cost-effective, solution to this integration problem. It might be a better, though longer-term, solution to focus on the managers of Programme implementation – the Programme Co-ordinators – and help them to learn to integrate across scientific disciplines. For this purpose it is particularly important that they learn from the current pioneers of thematic integration in the Programme, especially those who also integrate institutionally by engaging in partnerships and collaborations with an interdisciplinary approach. The Specialist Advisers, with their direct link to the Programme, will certainly play an important role in this regard.

The Water and Nature Initiative is a good illustration of a response to the new integration challenge faced by IUCN's organisational systems and structures. The concept of an ecosystem and livelihood approach must bring together and integrate expertise from the different thematic programmes, such as wetlands, forests and species, as well as social and economic disciplines. The current organisational location of such projects in the Secretariat (within the wetlands programme in Meso America, for example) is to some extent arbitrary, and is not directly supported by the existing organisational structures. It might be necessary to review existing organisational arrangements in order to find mechanisms – such as matrix organisation – that are more suitable for this kind of integrated work. The creation of an Ecosystems and Sustainable Livelihoods Group as the umbrella organisation for headquarters thematic programmes (and the similar arrangement in the Asia regional directorate) are good illustrations of the organisational and managerial dynamics that must flow from changes in Programme content and composition. But more needs to be done to promote inter-programme and interdisciplinary work, through adjustment to PAC design and approval criteria, and to TOR and performance appraisal systems for programme co-ordinators.

Within the Headquarters of the Secretariat, the Corporate Strategy Group has a critical role to play. For example, it must articulate the linkages between Programme content, fund raising and communications; between Programme design and partnership with the business community; and between Programme design and implementation and Membership strategy and services. Its services with regard to Membership, communications, conservation finance and some aspects of relations with the business community are vital. It is crucial for the functioning of the whole Union that the Group perform its functions effectively.

Although steps have been taken to strengthen its component units, the Corporate Strategy Group is still lagging seriously behind in its performance of its functions. In the ER's discussions at HQ and at regional



level, these shortcomings have been a recurring theme brought up by managers throughout the Secretariat. Taking into consideration the importance of the functions of the Corporate Strategy Group,

**We strongly recommend a review of the structure, management and leadership of this part of the HQ organisation.**

Interaction between regions is an important part of the Secretariat's organisational and managerial learning process. **We recognise** the value of the Regional Directors' meeting that was held in Bangkok for this purpose, and **recommend** that such meetings be held regularly in future – although meetings of themselves do not ensure co-ordination, and must be accompanied by revision of roles and working practice.

Overall, **we recognise and commend the various efforts made over the last three years to enhance integration and co-ordination in the complex and diverse structure of the Secretariat.** Further effort will be needed, notably to bring the Membership and the Commissions more fully into the implementation of the single Programme of the Union.

**We also recognise the importance of the specific financial allocation that has been made to Innovation, Integration, Information and Communication (3I-C) across the Union.** The 3I-C fund plays an important role, but cannot be treated as the sole mechanism for achieving these objectives. Mechanisms and processes for integration and co-ordination should be a natural part of the organisational culture and of management concepts in IUCN, and should be reflected in the normal business planning processes of Secretariat units as well as in the specific efforts supported by this fund.

#### **4.4. Regionalisation and decentralisation**

The regionalisation and decentralisation (R&D) of the Secretariat has its roots in the mid 1980s, with the establishment of the first regional office (in Eastern Africa) and the operations of the Conservation for Development Centre, which started as a separate entity but later integrated fully into the organisation of the Secretariat. Over the following 20 years, regionalisation and decentralisation have been common words in IUCN's organisational and management debates. Further impetus was given to the process by the General Assembly of 1994, when the "Strategy for IUCN" was formally adopted. This strategy gives separate definitions for the two concepts. But in practice, they have become blurred and used interchangeably. In fact, decentralisation in IUCN represents the transfer of increased authority and responsibility to the regional level, and regionalisation for the strengthening of the role of the Membership, particularly at regional level, in the affairs of the Union. The latter process clearly has important governance implications.

In 1998, prior to the most recent External Review, the Secretariat commissioned an ambitious review of the state of R&D in IUCN (the Compass report). But the study had little impact, due partly to the turbulent management situation in the Union at the time.

In 2002, a new R&D review was launched. Both the content and the participatory approach specified in its terms of reference were very ambitious. So far, the review has formulated a number of very important questions, has found far less answers and has reached still fewer conclusions about how the Union should proceed with regard to R&D. Its major message confirms the entrepreneurial nature of IUCN's R&D; the consequently wide diversity in structures, capacity and performance; and the significant but still limited and uneven results achieved in terms of strengthened engagement of the Membership in the affairs of the Union (IUCN, 2002c: 7). We underline the finding that one of the main ambitions of the regionalisation process – the mobilisation, integration and empowerment of Members – has fallen far short of even modest expectations. This ambition and task await fulfilment.

Although the review seems to be an unfinished chapter, it has contributed to a higher degree of awareness at management level throughout the Union about the effects and limitations of the R&D process, and the challenges that must still be addressed in the near future.

IUCN operates in such varied working environments around the world that, up to a point, diverse organisational structures and systems are necessary. Up to a point, such diversity can be a strength. But, so far, R&D has created a project delivery organisation whose unevenness and internal inconsistencies go

beyond that point. There is no doubt that the resultant structure and organisation have made IUCN clearly visible at many points on the globe, have made the Secretariat more accessible to Members, and have successfully implemented many small and large projects around the world. The Union has substantial human resources and valuable networks at local, national and regional levels. At the same time, as the first radically improved Programme evolves into the second and as the strategy of IUCN is more strictly applied, the regions face a transformation of their basic business model and ideas. For some regions, this will be a major challenge to their professional staff and their mode of operations.

**Against this background, we recommend that the further deepening of R&D in the Union – whatever form the process may take – should focus on three areas: strategies for developing and transforming the regions and IUCN’s country level presence to comply with the Union’s mission; possible governance structures and relations at regional and national levels; and financial models for funding the regional role in the design and execution of the IUCN Programme.**

#### **4.5. The role and position of key functions at headquarters**

The driving force for many of the organisational dynamics that we have described above is the evolution in the composition and content of the IUCN Programme. The role and position of various key supporting functions, such as Finance, Human Resources, Communications, Membership Services and Conservation Finance, are driven by the overall strategies of the Union. It is not possible for us to undertake a detailed assessment of the organisational position and capacity of each of these functions. Instead, we have concentrated our comments on the most striking issues.

The **Finance Unit** at headquarters plays a vitally important role in the management of the Secretariat. Its intensive working relations with the corresponding regional Finance Units has substantially strengthened IUCN’s grip on its financial situation. It has introduced a number of systems and instruments to enhance management of the financial resources of the Union (Chapter 6).

Organisational arrangements for dealing with the **business community** have also been evolving. These relations remain an important strategic challenge for the Union that has not yet been adequately addressed (section 7.4). The continuing uncertainty is reflected in the current interim arrangements for private sector relations in the Secretariat.

The role and positioning of the **Membership Services Unit** is a major concern. The Membership is the core of the Union, yet this Unit’s role, capacity and tasks are predominantly administrative. We envisage that the Membership will play a stronger role in Programme implementation (section 3.6.2) and in the regional governance of the Union (section 5.5). This will necessitate a much stronger strategy and capacity for engaging Members in IUCN’s key activities. This responsibility is shared between headquarters and regional offices; but the latter need both policy and managerial guidance from the former if they are to build more fruitful relations with Members.

**We recommend that IUCN review the positioning, capacity and strategic competence of the Membership Relationship Unit at headquarters so that this Unit can guide Members and the rest of the Union towards a stronger role for Members in Programme implementation and regional governance.**

Much work has been done to adjust policies and standards for **human resource** management in the Secretariat, at headquarters and especially at regional level. Dedicated human resources positions or focal points have been created in each regional office. This has strengthened the Secretariat’s ability to deal with the complexities of employment models, regulations and conditions around the world. But management of human resources is a much wider responsibility, particularly in an organisation with dynamic roles and activities like IUCN. The current Programme has challenged the Secretariat to adjust and develop its human resources in many ways (section 3.6.3). Human resource services have to provide strategic support to the Programme, not just administrative support. **We believe that the strategic role of the Human Resources Unit at headquarters should be emphasised and strengthened.** In particular, the evolving content of the

Programme and its implementation arrangements require review of qualifications and recruitment policies; a thorough performance management system; and facilities for the professional development of existing staff, including management skills.

The **gender** balance at senior management level in the Secretariat remains wholly inappropriate. There are two women in the top 19 posts (Director General, Chief Financial Officer, Chief Scientist, Internal Auditor, Directors: Human Resources, Global Programme and Corporate Strategy, Directors of regional and outposted offices). The balance is somewhat better at the next lower level of management.

**We recommend that the Director General seriously consider how to achieve a more appropriate gender balance in the top management of the Secretariat.**

**Communication** is probably one of the most important functions of IUCN, as a complex, global organisation dedicated to the generation, management and dissemination of knowledge. Communications occur constantly throughout all strands of the Union's helix, both internally and with societies around the world. Principles of communication are incorporated explicitly or implicitly in almost every system and document. Every component of the Union, including the Council, Commissions, regional and national committees and the Secretariat have rights, responsibilities and restrictions with regard to communications. Trying to grasp the complexity of IUCN's communications performance, systems and strategy is an enormous challenge. The Communications Unit within the Corporate Strategy Group of the Secretariat has attempted to define communications needs, strategy and instruments for the Union. The resultant document (IUCN, 2003c) confirms that very much remains to be clarified and resolved. We believe that the only practical way to achieve progress is to concentrate the communications strategy on a very limited number of areas where common principles are critical to the credibility of the Union. We also consider that issues of internal communications, of knowledge management and networks, of corporate communications and of policy communication should be tackled differently and by the relevant agencies within the Secretariat. The role of the Commission for Education and Communication, and the positioning of its Secretariat focal point within headquarters, also need to be reviewed. Recent restructuring wrongly implies that the Commission and its component of the Programme should focus internally on IUCN's communications. In fact, the Commission's mandate and its contribution to the Programme have a global reach in support of environmental and sustainable development education and communication "to promote learning and empower stakeholders to participate in achieving IUCN's mission" (IUCN, 2003d; 2003e).

#### **4.6. The management of growth**

Growth – an increase in human and financial resources – is the most natural characteristic of a successful organisation. There can be many drivers for organisational growth, ranging from felt needs and expressed demands in the organisation's environment to the individual ambitions of its leaders. In a world that suffers biodiversity loss and environmental degradation, a successful IUCN will face all kinds of internal and external compulsions to grow. So the question is not so much whether IUCN should grow, but how.

During this review, we have been able to discuss this question with people in all parts of the Union. The growth of the Membership and of the Commissions falls largely under the purview of the Council. Because of the voluntary nature of their engagement, the growth of these components of the Union is driven largely by Membership policy and by the mandates and attractiveness of the Commissions. The growth of the Secretariat, however, poses more complex challenges because of the long-term commitments and the institutional and financial risks that it imposes. These challenges have not been adequately met. There is no clear growth strategy for the Secretariat. Instead, an opportunistic, entrepreneurial mode of growth prevails.

Given the way it has grown so far, and given the increasing challenges and calls for its services, one mode of growth would be for the Secretariat to expand at all levels: country offices, regional offices and headquarters. This would be financially risky and would increasingly contradict the constitutional character of IUCN as a Union of Members advised by Commissions and served by a Secretariat. Instead of this kind of Secretariat expansion, or at least complementing it, IUCN should adopt one or more other growth strategies, such as:

- Membership driven growth: this strategy would be part of a phased approach to the introduction of the Programme in a given country or region. It would begin with an exploratory Secretariat presence and a drive to build Membership; followed by a stronger Secretariat presence implementing a more extensive set of Programme activities and promoting growth in Member capacity; followed by gradual reduction in Secretariat responsibilities and expansion in Members' role in Programme execution, as the Secretariat presence is reduced;
- partnership driven growth: with this strategy, IUCN would seek professional partnerships with national, regional and global organisations for the execution of the Programme, carefully balancing the possible fields outside the Union's thematic heartland with the core competencies and advantages of the Union and particularly its Secretariat (section 7.2). The Secretariat would adjust its functions, organization and staffing levels accordingly;
- multi-centre growth would assign specified global (and regional) Secretariat functions to appropriate locations around the world, taking into account the Union's institutional structure and geography and ensuring that the required critical mass of Secretariat resources is achieved at each such place.

These growth strategies are not mutually exclusive; indeed some combination of them would be preferable. Nor can other approaches to growth be ruled out. But it is necessary for IUCN to be clear and convincing about how and why it wants to grow.

**We recommend that the Council and the Director General and his team explicitly assess, determine and justify a long-term growth strategy for the Union; and that they ensure that this strategy is efficiently elaborated and executed by the management of the Secretariat at all levels.**

## 5. The governance of IUCN

### 5.1. Introduction

It is easy to agree with Max Nicholson that IUCN is one of the most complex organisations that could possibly be invented. It has almost every conceivable component of organisational diversity. It comprises not only different cultures, biomes, political systems and development situations, but also voluntarism, professionalism, governmental and non governmental Members, local and regional autonomy as well as focused, co-ordinated global and regional efforts. The governance, strategic management and operation of such a body represent unique and difficult challenges.

The complexity of IUCN is partly constitutional, deriving from basic ideas with which the Union was launched in 1948 and from the subsequent growth and structural changes, particularly during the two last decades. These changes have substantially altered the governance and strategic management challenges facing the Union. Five major changes stand out:

- the evolving interpretation of the concept of conservation, reflected in changes in the mission and strategy of the Union;
- the regionalisation of IUCN's resources, operations and management;

*...assess progress made in strengthening governance... systems. In particular... assess whether the governance reforms that are underway are adequate...*

TOR, Annex 1.

*In dealing with IUCN, one must bear in mind that there never has been, and undoubtedly never will be, any other human organisation even remotely resembling it. Its peculiarities, subtleties and complexities are sometimes mind-boggling.*

Max Nicholson (1990), quoted by Holdgate (1999: ix)

- the integration and systematisation of the Union's delivery system, from programming through execution to monitoring and evaluation;
- the enormous growth in the scale of the Union's work, with its operational and managerial complexity and the strategic and economic risks that it carries;
- new financial relations with some of IUCN's main donors, which have gradually evolved from project-by-project funding to confidence based unrestricted framework agreements.

Despite these changes, the governance system of the Union and its main institutional components - the General Assembly (now the World Conservation Congress), the Council, the Bureau, the Commissions and the Director General - have remained strikingly constant over the decades. Over the last ten years, it has increasingly been the subject of doubts, criticism and attempted reform. The most important, but unfortunately not completely successful, attempt to review and adjust the governance system was that undertaken in 1994-1996 by the Statutes Review Committee. Thereafter, external and internal reviews of the programme and organisation of the Union have pointed out serious weaknesses in its governance system and recommended thorough analysis and adjustments.

During the World Conservation Congress at Amman in 2000, calls for governance reform reached a crescendo. In its post Congress meeting, the Council – strongly supported by IUCN's main donors – decided to undertake an overall review of the governance system of the Union. It set up a Governance Task Force (GTF) to undertake this review and to advise it on action.

Over the last few years the governance of IUCN has become a central issue for the main donors. Their interest in the good and efficient governance of the Union has been increased substantially by the change in their financial relations with it. The growing number of framework agreements provide largely unrestricted funds to be used at the discretion of the Union. They represent donors' confidence in the leadership of the Union – meaning its governance as well as its strategic management - and a commitment to the implementation of the mission of the Union. This confidence and commitment have to be cemented in trust in the governance system of the Union.

The GTF began in 2001, and is still at work. Because its review process is ongoing, we have focused our analysis of governance on the GTF's proposals and their possible outcomes.

We shall not repeat what the GTF already analysed, explained and advocated. However, the work of the GTF, as a representative body of Council, is not only an analytical process but also a political process of considerations, adjustments and compromises. We see our task as being to comment on, to emphasise and to complement the results of that process, and to raise issues of importance that have not been fully considered or do not appear in the proposals of the GTF.

## **5.2. The Governance Task Force**

The work of the Governance Task Force represents a huge investment by the Union. During the two years of its operations, a tremendous amount of most impressive voluntary work has been carried out by its members and particularly by its Chairperson. In addition to its numerous meetings, the GTF has conducted in depth interviews, undertaken reviews of previous studies and proposals, identified strengths and weaknesses of the governance system and considered governance models in similar organisations. The work of the GTF is commendable, but it has yet not ended. At the time of writing, the Council has had a second debate on the GTF's report and has requested certain additional work from it. The Council has also taken decisions in principle on some of the proposals of the GTF, while others remain for further debate and decision at its meeting in December, 2003. The outcome of the December Council meeting is uncertain. **It is therefore very important that the External Review take this opportunity to reiterate the message of the GTF to the Council:**

*It is cause for considerable concern that so many past – and often high-quality – efforts at governance reform in IUCN have led to so little real change. If the current governance reform process also fails to deliver substantial reform, there is a good chance that the governance*

*mechanism of the Union (or the weakness thereof) will become a major factor holding IUCN back from realising its potential as the world's premier conservation organisation.*

IUCN Governance Task Force, 2003: 9.

**Against this background we urge the Council, the President and the Director General to take their full responsibility to exercise the necessary leadership before and during the 2004 World Conservation Congress to ensure adoption of the main reform proposals of the GTF.**

The GTF has identified four main areas for governance reform: the World Conservation Congress, the Council, regional governance and the Commissions. In general, **we concur** with this selection.

### **5.3. The World Conservation Congress**

The GTF makes several proposals for improving the functioning of the WCC. It suggests that the WCC be held every four years (a confirmation of current practice); that each WCC should focus on a major theme; that the WCC should have differentiated sessions on formal business and on the Programme and budget framework; that there be a more streamlined resolution process; and that motions to the WCC be handled more systematically. The Council has approved all these proposals in principle.

**The External Review supports these recommendations. However, the four year interval between Congresses should be re-examined in the light of stronger governance functions at the regional level of the Union** (section 5.5).

### **5.4. The Council**

The GTF has made a number of very valuable proposals about improvements to the functioning of Councillors and the Council. Its recommended 'performance tools' include a Council Handbook, a Guide for Nominations, a Code of Conduct, a Performance Commitment, an Activity Report and a Self Assessment. All these instruments will certainly contribute to better performance by individual Councillors. But they do not solve the major structural problem of the Council: its efficiency as the organ of political and strategic leadership for the Union. To date, despite repeated efforts, the Council has been reluctant to reform itself into a more efficient and better structured decision making body. The GTF has spent many hours on discussion on this issue, and finally agreed to present two alternative proposals on the functions, composition and size of the future Council:

- a Council that retains its size and composition (38 members, with possible future additions) but reduces its meetings from two to one per year and concentrates on strategic and policy decisions; and an enlarged and strengthened Bureau that would take over the fiduciary responsibilities and meet as often as necessary;

or

- a smaller Council (20-25 members) meeting twice a year (or more often if needed) to conduct the full range of Council business; and a restricted Bureau to assist the President on emergency and sensitive issues.

We have examined these proposals carefully. Both have merits and disadvantages.

For the first option to work, two conditions must be fulfilled. First, policy and strategic decisions and fiduciary responsibilities must be clearly defined. At this stage, the GTF's proposal lacks these definitions. This may create unnecessary confusion in the Council and even more confusion at the WCC, which would have to decide on the proposal. A more precise definition, particularly of the strategic issues to be handled at the Council level and the strategic issues to be handled at the Bureau level, would help all involved to understand the respective functions of the two bodies. The second condition is that the Bureau be given the statutory power to discharge the responsibilities that would be conferred on it by this option. The present

statutory conditions for processing decisions of the Bureau would be impractical for a body entrusted with fiduciary responsibilities. The enlarged and strengthened Bureau must have an autonomous and accountable mandate for its decisions, in contrast to the present system of conditional approval of each individual decision of the Bureau by the Council.

The second option, of a smaller Council, would be a desirable step towards more efficient leadership of the Union. But in a smaller body it would be difficult to accommodate all the necessary diversity, including the essential regional representation, as a basis for a comprehensive policy making process. We doubt whether a Council of 20-25 members would be significantly more efficient than the current Council. The disadvantages of the narrower policy base could be compensated by establishment of a Policy Advisory Board, Panel or Committee, comprising both Members and other appointees from a broader spectrum of IUCN partners, donors and knowledge networks. Such an arrangement would widen the knowledge base on which policy recommendations are made. It would also make it possible to reduce the size of the Council further, to the proportions of a functioning Board of around 11-14 members.

These two options – with the modifications suggested above for the reduced Council – tend to converge. Both would ensure a broad policy base (although composed somewhat differently) and a more efficient strategic and fiduciary decision making body. The costs of the proposals would be roughly similar to the operating costs of the present structure.

**We recommend that the Governance Task Force take into consideration the comments above in its further work and refinement of its proposals.**

## **5.5. Regional governance**

The GTF has basically limited its proposals on regional governance to confirmation of already existing principles for the functioning of the regional bodies of the Union – Regional Membership Forums, Regional Committees and National Committees. These principles are enabling, not obligatory. The regional bodies are not compulsory – they may or may not exist. The relation of the existing regional bodies to the activities of the Union is at best case informative and/or consultative.

However, increased emphasis on the participation of the Membership in the affairs of the regionalised Union would need a much higher degree of regularity, continuity and transparency, as well as clearly defined roles and relations between the regional organs of the Membership and the activities of the Secretariat and the Commissions. In particular, the systematic involvement of the Membership in the design and endorsement of regional programme components, regional business plans and the principles of the implementation of the Programme of the Union at regional level (including the role of the Members in Programme implementation) should be regularised in the governance system of the Union. While we fully understand and appreciate the differences between regions in terms of Member capacity, competence and interest in governance functions, we believe that the situation has now matured far enough for determined steps to be taken in this direction by the Union.

**We recommend that the Governance Task Force complete its work with a thorough assessment of possible regional governance functions, roles and relations, including procedures and the related cost implications.**

The risk of fragmentation that regional governance might pose, which was noted by the Task Force, has to be seen in the light of the benefits that a well-balanced regional/global governance system would bring to the Union.

**We also recommend that the Council consider a full-scale trial of a regional governance system. Such a trial should guide the further development of the statutory functions and procedures, forms and structures, *modus operandi*, relations to National Committees and the IUCN Council, relations to the Director General and the Secretariat, administrative and financial implications, etc. We recommend that one programme region, e.g. Meso America, be considered as the site of this trial. Such a**

**trial should combine membership inputs and a professional consultancy for design of the most suitable system.**

Current arrangements for Member involvement in the Programme in Meso America are not universally endorsed in IUCN. We suggest this region as a possible site for the recommended trial not because we endorse the current situation, but because Member relations have been an active issue there; because Members are relatively vocal and organised there; and because further exploration of developments in that region could be a valuable learning process both there and in the Union as a whole. However, the choice of region(s) for the trial is less important than the careful preparation of its terms of reference, which should embrace all the aspects of regional governance structures mentioned in the recommendation above.

The modalities for recognition and authorisation of National and Regional Committees are already in place in the Statutes and Regulations. The Council has the necessary statutory powers to instruct the Director General and the Chairs of the Commissions to comply with the governance functions that it could assign to the regional bodies of the Union. What is needed now is not statutory reform but a proactive commitment by the Council to using the potential already provided by the Statutes for introducing regional governance as a structured and effective reality across the Union. Some 20 years after regionalisation and decentralisation began, this is one of the fields of governance reform that this increasingly global Union most urgently needs.

## **5.6. The Commissions**

During the ongoing work of the GTF, the Director General and the Chairs of the Commissions initiated a process of consultations on the operations of the Commissions. A team of representatives of the Chairs, all experienced Commission members, was entrusted with the task. The work of this Consultative Group on Commission Operations has been integrated into the proposals of the GTF.

All external and internal reviews of IUCN undertaken during the last decade have confirmed the value of the Commissions to the Union. As the scientific pillar of the Union, the Commissions represent one of the most important dimensions of its distinctive character: its balanced, science-based policy statements and actions in the world conservation arena. **The Commissions are crucial elements of the Union's knowledge network and its system of knowledge management.** We agree with the GTF that "nobody disputes the value of voluntary networks to the IUCN Mission" (IUCN GTF, 2003: 6).

It is precisely because the Commissions have such an important place in the profile and performance of IUCN that their functioning and governance comes up repeatedly on the Union's agenda.

Over the years, several external and internal reviews have analysed the role, functions, performance and organisation of the Commissions. According to the Statutes and Regulations of the Union, the Commissions are extremely flexible bodies. They are formally 'dissolved' by every Congress and 're-established' – if it so chooses - by the same Congress. The Congress has the full statutory power to determine whether a Commission should be re-established or whether the Union should use any other means or structure to provide the necessary scientific support to its Programme. Further, the Statutes empower the Congress to make any kind of necessary changes in a Commission's mission, mandate or terms of reference. In addition, the Council has the statutory power to appoint the main officers of Commissions, to review their work and to establish financial rules for them. In other words, there are clear statutory powers in the Union to exercise good governance of the Commissions.

Although they are among the most important assets of the Union, the Commissions also represent many of its headaches:

- as pointed out in several reviews, existing Commissions are not necessarily the optimal organisational arrangements for delivering knowledge in scientific support of the Programme;
- decades of experience of the IUCN voluntary networks tell us that Commissions' performance varies substantially from one Commission to another and within each Commission over time;



- the form, internal organisation and procedures of Commissions, as set out in the Regulations of the Union, do not necessarily reflect modern methods for the management of voluntary networks. After adjustments and development, the organisational principles may fit some of the Commissions, but remain a strong misfit for others;
- the role, functions and duties of the Chair of a Commission are extremely demanding of capacity and resources. The Commissions' heavy dependence on these individuals is the weakest point of the management of these voluntary networks;
- despite the ambition "to further the objectives of IUCN and its integrated programme" there are often difficulties in integrating the work of voluntary networks with the delivery systems of the Programme.

These and other concerns show that the Commissions of the Union need active and dynamic governance. However, despite their statutory powers, the Congress and the Council have not been able to exercise effective governance of the Commissions. Proposals and recommendations made to the Union over the years have perished on the floors of the Council or the Congress.

Recently, as a result of the recommendations by the Consultative Group on Commission Operations, the Chairs of the Commissions agreed on a number of 'short-term' improvements to the governance system of the Commissions. 'Short-term' in this case does not indicate lesser importance, but rather the feasibility of immediate implementation by the relevant statutory bodies of the Union. These changes include confirmation that Commissions' mandates form part of the single IUCN Programme; and address issues of accountability, reporting to the Council, and potential conflicts of interest. The GTF has made the same recommendations to the Council, which has accepted them.

**We endorse these recommendations. We hope that they will be fully implemented in practice and will not meet the same fate as the earlier Sonloup Accords of 1995 and 1998 on enhancing synergy between Commissions and the rest of the Union.**

The most important governance challenge is related to the Union's vision of the future of its knowledge networks. As the Consultative Group puts it, "Are Commissions a constraint or a catalyst in building this essential asset base in IUCN? Do they encourage a shared and integrated approach while pursuing excellence? Or, will they block the growth of new networks? ...Is there a need to revisit the question of current and future Commissions once a vision for knowledge management in the Union has been developed?" (Consultative Group on Commission Operations, 2003: 15-16.)

The dependence of the Union on a multifaceted knowledge network has increased radically during the last few years, particularly through the new result oriented Programme. The concepts and practice of organisation and management of knowledge networks have developed dramatically during the last 15-20 years. Acting on the recommendations of the Consultative Group and the GTF, Council has decided that the Director General, in consultation with the Chairs of the Commissions, should develop a 'green paper' before the Bangkok WCC on a vision for the Union's knowledge networks and the process of transforming the IUCN into a network of various types of knowledge networks (section 3.3.4). Details of how the paper will be developed are not yet known. The importance of this review, given the number of reviews and inconclusive reactions that have gone before it, cannot be exaggerated.

**The External Review strongly endorses an open-minded and unbiased approach to the organisation, governance and management of voluntary and other knowledge networks to serve the mission of the Union. The existing structures – the Commissions – should be examined in the perspective of the needs of the Union rather than in terms of historical traditions. This time, no Commission should have a 'free ticket' to the future knowledge network of IUCN.**

## **5.7. The way forward**

The External Review regards the ongoing process led by the Council and its Governance Task Force for reforming the governance of the Union as a highly relevant response to the demand for change expressed by

Members, partners and donors. In its two most recent meetings, the Council has taken decisions in principle on a number of improvements to the governance system. The next meeting of the Council in December 2003 will be critical for the progress of the governance reforms. As we look forward to effective results in this regard,

- **we commend the work of the Council and its Governance Task Force;**
- **we endorse the proposals made to the Council by the Governance Task Force. We recommend that the GTF and the Council consider the comments and suggestions made above on governance issues;**
- **we urge the Council to capacitate itself to enable good governance and strategic management of the Union – one of the world’s most important but complex organisations. Governance is not only the formal framework; it is also the ability to use actively the powers given to the governors by the constituency of the Union;**
- **finally, reforms in governance need vision, courage and leadership. We recommend that, in the process and context of the coming WCC, the President, the Council, the Director General and the main donors of IUCN join in supporting positive change in the governance system of the Union.**

## **6. The financial management and viability of IUCN**

### **6.1. Financial management**

We have chosen to comment on the financial management of the Union from the perspective of the accountability and transparency of the system in use, its usefulness for decision making at all levels and its value as a tool for strategic decisions about allocation of resources for effective delivery of the Programme.

*...assess the financial viability of the organisation. In particular the extent to which the management of the Secretariat’s finances contributes to financial viability.*

TOR. Annex 1.

In terms of accountability and transparency, IUCN has developed a healthy financial management system, from budget formulation through budget execution to accounting and internal control mechanisms. In the last two to three years, significant improvements have been made to the system. Furthermore, risk management systems have been established that support management in decision making about resource mobilisation (e.g. classification of projects into A, B and C categories, and provisions for membership dues and reserves). The production of guidelines and instruments for the regions from the Finance Directorate at HQ has meant that systems have gradually become more reliable.

The presentation of financial information has also been improved, through the introduction of a revised chart of accounts and a globally uniform system of financial management. As a result, it has been possible in the last few years to also analyse expenditures by cost items across cost centres.

What is still needed is a facility that permits assessment of costs by main functions, i.e. programme management and implementation versus administrative and support services. These data could have served as an important performance indicator and given guidance in monitoring the efficiency of the organisation. Additional refinement of the budgeting and accounting systems is also needed in order to link financial resources to programme components, key result areas and results, and to support the setting of priorities among them.

## 6.2. The financial situation

Between 1996 and 1999 (the period assessed by the previous ER), the total turnover of the Secretariat increased on average by 12,5 % per year. The subsequent period, 1999-2002, shows a significantly different situation. Turnover has increased during this period by a very modest 1% annually. This minimal growth is a significant deviation from earlier projections. The main reason for this deviation lies in the reduced ability of the regions to acquire project finance for their activities. The state of the 'project market' has generally worsened during the last three years. Expectations are that the demand – or supply of project funds - from donor agencies will fall still further.

The total revenue of IUCN does not necessarily have to be linked to Programme performance (section 3.6.2). The last three years of lower total revenue could be seen as an opportunity for consolidation, as well as a clear signal that the historic and current business model of IUCN needs general and thorough revision.

For a better understanding of the relations between financial resources and facilities for Programme implementation, we need to study the different components of IUCN's revenue.

**Table 3. IUCN revenue, 1996-2002**

(million CHF)

	1996	1997	1998	1999	2000	2001	2002
Membership fees	7.5	7.9	8.2	8.5	8.8	8.8	8.9
Donor funds through framework agreements			16.4	17.5	19.9	20.9	22.7
Donor funds for projects	51.0	60.6	53.0	60.9	56.5	58.0	56.4
Other income	6.6	6.6	6.4	5.4	6.0	4.9	4.7
Total	65.0	75.1	84.0	92.2	91.1	92.6	92.7

Source: IUCN data.

From the Programme point of view, IUCN must operate with different categories of funds and funding. First, it has unrestricted income, which consists basically of income from membership fees, some private and NGO donations and income from sales of products. This income accounted for 14% percent of the total in 2002. Secondly, there are those parts of framework funding agreements that are not tied to a specific programme, region or even project. These two categories together represent the core income of IUCN. The major part of the Union's income, however, is project- and in some cases programme-restricted funding, which largely comes from donor agencies.

The ratio of donor funding to other income increased from 3.6 to 5.1 between 1996 and 2002. This is because IUCN has been successful in securing more donor resources; because it has diversified its sources of donor income; and because individual donors have increased their overall contributions. As Table 3 shows, donor contributions have grown much more quickly than membership fees, which have increased at a more modest rate. Other income has remained the same.

In total, donor funding accounts for 85% of IUCN's total revenues. 60% of all revenue comprises project funding from donors, and another 25% is donor funding (from some of the same agencies) that is guided by framework agreements with the Union.

There are currently 74 paying State Members, 106 government agency Members and 760 NGO Members. State Members account for 82% of total membership fees, Government agencies for 9% and NGOs (national and international) for 7%. State Members' arrears in fee payments are equivalent to 50% of total payments by State Members in 2002. (Government agencies' arrears were 44% of total payments in 2002, and NGOs' 49%.) Several steps have been taken to achieve a more reliable projection of expected income, and the recovery of outstanding dues from various governments. Still, State members give greatest cause for concern. At the close of 1999, arrears totalled CHF 6,2 million, including 41 State members. Corresponding figures for 2000 are 4,5 million; for 2001 3,5 million; and for 2002 4,5 million, including 34 State members. It is important to analyse these figures in financial terms, but even more in terms of institutional relations.

Some governments have multiple financial relations with the Union. They pay a fee, contribute unrestricted (or partially unrestricted) funding through framework agreements, and also provide project tied funding. For the major share of its revenues, IUCN thus relies on the same sources, through a variety of transfer mechanisms. The primary sources of this revenue are the international development agencies (donors) of seven OECD countries.

**Table 4. Sources of external funding, 2002**

(million CHF)

	Core funds	Programme and project tied	Total	Percent of total
Netherlands	3.7	13.3	17.0	21
Sweden	4.5	2.3	6.8	9
Denmark	3.9	1.6	5.5	7
Norway	1.8	3.4	5.3	7
USA	0.3	4.6	4.9	6
Canada	1.3	3.0	4.2	5
Switzerland	1.2	2.6	3.8	5
Other official bilateral donors	-	9.6	9.6	12
Multilateral Agencies	0.04	13.7	13.8	17
NGOs, foundations. others	0.7	7.7	8.4	11
Total	17.5	61.6	79.1	100

Source: IUCN data.

According to the analysis of ‘donor diversification’ presented by the Secretariat in its latest report to the Finance and Audit Committee of the Council, the number of donors increased significantly between 1996 and 2002. “In 1986, 86% of the contributions were received from only 6 donors, while in 2002 86% was received from 19 donors”. This diversification of financial partners stems first and foremost from changes in the composition of project tied funding, of which the various UN agencies have become more significant contributors (from 4% of total external funding in 1996 to 12% in 2002). There have also been more numerous smaller contributions from other official donors.

This diversification might be taken as meaning that the Union has reduced risk by reducing its dependency on a few sources of funding. However, the *main sources* of donor funding in 2002 are the same seven bilateral donors as in 1996 (Table 4). In 1996 they accounted for 67% of donor funding; in 2002, for 59%. These same donors are also the source of funding through framework agreements.

Diversification reduces risk, but at the same time it increases transaction costs. The various sources and forms of donor funding are subject to different conditions, and to different monitoring and reporting requirements. Unless donors pool their resources or harmonise their approach to funding, diversification will increase this administrative burden on IUCN.

### 6.3. Financial viability

Projecting IUCN’s revenue, and the contributions that it will receive from its financial partners, is a challenging task.

In 2002, IUCN managed 926 projects, funded through project agreements with some 36 bilateral donor agencies, 12 multilateral agencies, and 30 NGOs and other financial partners. Each donor agreement specifies different conditions for the use of the funds provided. Even framework agreements are partially tied to different programmes or thematic areas. Projections of this kind of funding depend largely on the reliability of commitments made and on progress in negotiating and processing decisions in the respective donor agency. It is well known that these commitments are highly uncertain. As a safeguard against risk in

revenue projections, IUCN has established a system of classifying projects into ‘A’, ‘B’ and ‘C’ risk categories.

378 of the 975 Members did not pay their fees on time in 2002. Thus the main source of unrestricted income is also highly uncertain. This imposes an additional administrative burden in following up on arrears.

Table 5 below may serve as an illustration of the challenge of managing these highly uncertain sources of income. How does the Union deal with these uncertainties? The financial risks of IUCN’s operations have to be seen at two levels. The short and medium term costs of the Union, reflecting mainly the costs for permanently employed staff and general operating costs, are projected in the ‘Secretariat’ part of the total budget. These costs are covered mainly by income from unrestricted and framework funding, revenues for staff time charged to projects, and project overheads. Normally the deviation between the forecast and actual costs and incomes of the Secretariat budget is modest. The high risk component is the ‘Projects’ part of the total budget, which may vary by 40-60%. However, in the first instance, deviations in the ‘Projects’ budget directly affect the procurement of external services such as project staff and consultants, used for the implementation of the project contracts. Nevertheless, income from projects in the form of staff time and overheads represents two thirds of the Secretariat budget at regional level, and must consequently be considered as a major risk factor in the planning of investments in competence and capacity building among the permanent staff.

**Table 5. IUCN budget versus actual income, 2000-2002**

(million CHF)

	2000	2001	2002
Budget including projects	116	128	147
Actual including projects	91	93	94
Actual/budget	78 %	73 %	64 %

Source: IUCN data.

The liquid assets of the Union cover three to four months of operating costs. If direct project costs are excluded from the operating costs, liquid assets would cover more than six months of expenditures. Liquidity is a function of external financial flows and cash management. Donors are in some cases willing to advance funds for programmes and projects; but in other cases they delay agreed payments. Obviously these factors cause fluctuations in the liquid assets of the Union. Cash management is currently split between headquarters and the regions. The Secretariat is considering whether to centralise it.

The liquidity of the Union could be better, but the situation is not alarming. Meanwhile, the reserves of the Union amounted to CHF 15 million in the consolidated balance sheet for June 2002. They have been increasing steadily due to annual allocations.

Framework agreements were, among other things, intended to reduce IUCN’s financial risks and enable it to improve its cash flow projections. However, the main purpose behind these agreements was to create stability in resourcing the IUCN Programme. As mentioned above, they play an increasingly important role in the financing of the Union, particularly its global activities.

**Table 6. Allocation of core funds to regions**

(million CHF)

	2001	%	2002	%	2003	%
Regional components	6.0	24	7.6	23	7.5	24
Total core funds	24.8	100	31.8	100	31.4	100

Source: IUCN data.

Table 6 above shows the allocation of core funds (unrestricted and framework) to the regional level of the Secretariat. As can be seen, roughly a quarter of these core funds are allocated to the regions. The regions, in turn, compensate headquarters for services rendered to them by paying a 'tax' corresponding to about 20% of this transferred amount of core funds. The net allocation to the regions thus amounts to about 20% of total core funds. However, these allocations only represent 10-15% of regions' total expenditure. In other words, the regional activities of the Union are highly dependent on project by project funding. This is much less true of global activities. About 50% of global thematic programme work is financed from core funds.

#### **6.4. The business model**

IUCN's activities are organised according to the business unit principle. Each business unit, or cost centre, accounts for its total incomes and expenditures. In 2002, IUCN had 33 functioning cost centres, of which 13 incurred operating losses. Of the total operating loss, 72% was incurred by seven regional offices, and 28% by various global programmes. What does this mean? For so many important cost centres to incur losses – including all but one of the large regional offices - suggests a less than optimal situation. To help understand and explain the cost centre business model – basically the whole regionalised organisation of the Union – we will use two scenarios.

In **scenario 1**, IUCN regional and country offices are market-oriented project execution units. The success formula for such a unit is:

- the best possible fit between the unit and its markets in terms of professional competence and capacity – to use the slogan of IUCN in southern Africa, IUCN is “the development partner of choice”;
- the most efficient management of resources, particularly project resources and support services.

In this scenario, the main source of income at regional level is overheads and staff fees charged to projects. It is at this level that most of the donor project agreements are made with IUCN for country specific or regional projects. This gives regional offices autonomy as cost centres 'selling' services, much like commercial companies.

Given the operating losses quoted above, the first question to be asked is whether the management fees and IUCN staff time charged to projects really cover the actual costs incurred? Such management fees vary from 4 to 14 per cent, and average around 9-10%. The lower range of these fees is clearly unsatisfactory and probably contributes to the losses quoted above. Another reason for these losses is that charges for staff time in the projects tend to be undervalued. The low level of cost coverage indicates rather weak negotiations and market position.

The second question to ask about this scenario concerns the operating efficiency of the business unit. The main cost of these units is personnel. At the regional office in our sample, there are 50 staff. Of these, 13 (26%) undertake direct programme and project functions, while the remaining 37 (74%) are administrative and support staff. The programme and project staff account for 53% of total personnel costs, while the support staff draw down 47%. The total cost of administrative and support staff, and the general level of overheads at this cost centre, are very high by any standard. Similar observations have been made in other regions and offices. Our findings show that the cost efficiency of resource management in the cost centres has to be addressed.

The conclusion is that, as market oriented project execution units, most IUCN regional and country offices are weak performers. Consequently, transfers of core funding from headquarters are partly used to cover the operating losses of these cost centres. There are obviously ways to improve both market positioning and internal efficiency. However, changes in the project market, particularly a general decrease in donor spending on field projects and agreements between donors and recipient governments for sector support, do not look favourable for market oriented project execution units. In addition, the position of IUCN as a project implementing organisation may force it into direct competition with consulting companies and necessitate costly and risky tendering procedures.

In **scenario 2**, regional and country offices are the locally representative bodies of the Union and are integral to the design, planning and implementation of the IUCN Programme. The success formula for such a unit is:

- optimum selection and design of activities for learning and communicating in the priority areas of the IUCN Programme;
- the most efficient approach to empowering and building capacity for Members, partners and society in general;
- the best possible positioning of the Union for influencing local and national governments and their role in environmental governance at all levels.

In this scenario, regional and country units formulate various proposals for action and for funding by donors and partners, in the context of the IUCN Programme. They identify needs and entry points for action and take initiatives to generate knowledge and build capacity. They participate actively in policy dialogues at local, national and regional levels, and they support the global efforts of the Union. Staff time and other expenditures are budgeted and charged mainly in terms of KRAs and their component results.

This kind of programme-driven work seldom fits directly into donors' and partners' project portfolios. Therefore only part of it can be financed through project agreements, which explains the operating losses of the regional and country offices. These units depend on additional core funding for their programmatic work.

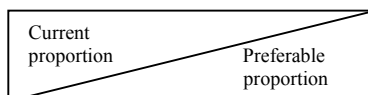
Which of these scenarios better describes IUCN's current business model? Neither and both, of course. In our discussions with line managers (thematic programme co-ordinators, regional programme co-ordinators, Country Representatives and Regional Directors), we found evidence for both of them. But in these discussions, we could reach a shared opinion. Dominance by scenario 1 will gradually marginalise IUCN as the global Union that is so needed on the world stage. But dominance by scenario 2, if dependent on the current level of core funding, will gradually minimise or eliminate the Union's presence and impact at regional and country levels.

The matrix in Figure 12 is another way of presenting the two scenarios for IUCN's business model at regional and country levels. It shows how they currently coexist in regional and country offices' actual operations, and how they would be represented if the business model were to evolve in the way that we recommend. Based on available information about the many project agreements and other forms of funding, we tried, through dialogue with programme staff at various levels, to estimate the present composition of the project portfolio. This is represented in the upper left part of each diagonally divided cell. If the relative importance of the scenarios were adjusted in the way that we recommend, then the figures in the lower right part of each diagonally divided cell would apply. We have referred to the two scenarios as 'market driven' and 'Programme driven' (section 3.6.1) and have identified two types of funding agreement. 'Small, short-term' agreements are the type that is currently so common. Recent data showed that 78% of all projects had budgets of CHF 100,000 or less; 40% accounted for less than CHF 20,000. The less common 'large, long-term' agreements are typically more desirable, if only because of their markedly lower transaction costs per unit of expenditure. Most of the projects in IUCN's current portfolio have a duration of one to two years. Only a few run for three years or longer.

**Figure 12. Two scenarios for IUCN's business model at regional and country levels**

	Small, short-term agreements	Large, long-term agreements
Programme driven	10-20% 20%	10-20% 50%
Market driven	40-60% 10%	10-20% 20%

Key:



The above estimates underline the critical weaknesses of IUCN's present business model as it relates to the Union's mission and its Intersessional Programme. The very strong project orientation at region and country levels (but to some extent also at the global thematic programme level) does not help IUCN to build on its comparative advantages (section 3.3.2). Nor does it stimulate interaction between different parts of the Secretariat – horizontally between regions or vertically between global, regional and national levels. In practice, IUCN's comparative advantage is seriously under utilised, and its business model makes it harder for the Union to position itself where it should be, at the centre of the interface between ecosystems and livelihoods.

We conclude that, if IUCN is to survive and to pursue its vitally important role successfully, it will have to change its business model. This means a twofold transformation.

- first, core financing must be increased at the regional and the country levels. In principle, this means a transition from the presently dominant short-term, market-driven agreements to programme based, long-term agreements with the key donors who are working in each region or country. In most but certainly not all cases, these are the same donor organisations that are currently funding IUCN on a project-by-project basis. The current total funding level, if delivered in the revised manner recommended above, would give the Union financial strength and professional capacity for designing and implementing its programme. It would also enable it gradually to shift its mode of planning and implementation from mainly Secretariat-based action to mainly Membership-based action. This change can only be realized with the strong support of the donor community and the governments in which the regional and country operations are undertaken (many of which are Members of the Union);
- secondly, IUCN must gradually turn from its 'project execution culture' towards a culture more in the spirit of its new Programme. Its professional staff must be more competent in understanding the situations and processes of learning and the management of knowledge, more sensitive to and skilful in capacity building and empowerment, and better in policy research, influence and communication between global, national and regional levels. This would be a major challenge – and a next step – in the further development of methods, instruments and competencies for the global Programme and its components. This fundamental transformation would need also to be supported by the Finance, Human Resources and M&E systems of the Secretariat.

## 6.5. Financial sustainability

How secure is IUCN financially, and how sustainable are its operations in financial terms? A fundamental element of security for such an organisation is its financial reserves. As we noted above, IUCN has been able to increase its reserves to safeguard against future setbacks or unforeseen costs, and to make provision for project deficits and arrears in Members' dues. These reserves can currently cover 1.3 months of operational



costs and 2.2 months of personnel costs. This is still far from enough to give the organisation reasonable assurance of sustainability.

IUCN remains heavily dependent on reliable and predictable donor funding for its operations. The seven financial partners that support IUCN through framework agreements and project tied aid remain the principal sources of this funding.

But sustainability is also a function of resource utilisation. Although the available information is limited, **observations of the Secretariat's cost structure at headquarters, regional and country levels suggest that there is scope to increase Programme resources by reviewing the efficiency and budgets of administrative and support functions.** We understand that such a review has been requested by the Council and will be undertaken by the Finance Division in the near future.

IUCN is a global, multilateral organisation producing a 'public good' that cannot generate sufficient income in a market. Within the framework of its mission it cannot become a 'commercially viable entity'. It will need to implement its global agenda with *public funds* from its main financial partners. But even as an institution relying on public funds, it needs to consider some issues that may improve operational efficiency, reduce the transaction costs of its operations and generate more resources for its Programme.

For the next few years, two main issues will influence the financial sustainability of the Union. The first is the change in its portfolio at regional and country level that we discussed in section 6.4 above. The second is the broadening of its financial support base towards the business sector and to more government institutions than just the development agencies.

Framework funding is now established as a major instrument for support to the Union through agreements between donors and the headquarters of the Secretariat. An increase in such framework funding is the first priority in order to support the transition that we recommended above. We have discussed corresponding arrangements for regional and country levels with IUCN and with some donor organisations. From some donors' point of view, such agreements would ease the funding of the Union's operations. Internal policy changes are reducing the amount of funding that these donors have available at global level, but increasing the resources that they dedicate at country and in some cases at regional level. It is therefore important to create channels for such regional and country level 'framework funding'. However, from IUCN's point of view, such arrangements are only helpful if they do not reduce the funding to the Union at global level. This global funding is not only the bedrock of the global programmes – which in most cases involve the regions too – but also make it possible for IUCN to invest in strategically important activities in regions and countries where donors have less or no interest.

On the donor side, there are often internal inconsistencies or even disagreements about financial relations with IUCN, for example between headquarters and embassies or between different departments at headquarters. Such differences often lead to misunderstandings, frustration and delays in concluding agreements. It is important that donor organisations determine their funding policies towards IUCN more clearly and that the responsible departments at their headquarters guide other parts of each organisation consistently about relations with the Union.

At the same time, IUCN should review its own internal arrangements and procedures to facilitate the agreement of framework type financing at regional and country levels. Regional offices should be authorised, stimulated and supported to enter into such agreements on behalf of the Union for regional or country level purposes.

**We recommend that, if possible, donor organisations consider increasing their financial commitment to the Union at global level through increased framework funding.**

**We strongly urge that IUCN and its principal donors extend the 'framework' type of funding agreement to the regional and country levels of the IUCN Programme where this is appropriate and timely.**

At many points in this report we have emphasised the importance of IUCN's global character. The Union is recognised as a global, multilateral institution. The challenges of biodiversity loss and ecosystem degradation that it seeks to tackle are not restricted to developing countries. The activities of the Union – obviously adjusted to local conditions – are equally vital from east to west and from north to south. But its current funding system, with the heavy dependence of its Programme and projects on the development finance agencies, means that in practice the Union and especially the Secretariat are heavily biased towards the priorities on those agencies' agendas. Without losing the sustainable development perspective that it has pioneered over almost a quarter of a century, it is important to widen IUCN's funding base to include resources from other agencies in the supporting governments. Several other Ministries, such as Finance, Environment, Natural Resources, Agriculture and Infrastructure are concerned nationally, but also regionally and globally, with issues in the heartland of IUCN's commitment and competence. It is an important task for the Council and the Director General – but also for the current donor agencies – to engage such Ministries and their institutions as partners for the Union.

Widening the funding base will need serious preparatory work for development and presentation of a coherent Programme with clearly defined outputs. It will need the intense engagement of the Director General in contacts with the partner Ministries and authorities. The present organisational and staffing arrangements should be reviewed from this perspective to create the necessary capacity and competence for such dialogues.

**We recommend that the Director General engage the Council and the core donors in further conceptualisation and planning of action to broaden the contacts and funding base in those donors' governments and societies for more effective support to the global Programme of the Union.**

**We recommend that IUCN's donor partners actively support such action by advocating the important role that it can play in the broader context of achieving a just world that values and conserves nature.**

## 6.6. Conclusion

We have recommended fundamental changes to IUCN's business model and funding strategy. This is a stark challenge to IUCN. The current business model is not an option for the future. Retaining it will gradually confine the Union to operating as a consultancy and project delivery agency, with no prospect of fulfilling the ambitions of its Programme and mission.

Two options do remain open. One is to scale down IUCN's regional and country operations to a level that would permit more stable finances for the organisation, rescuing it from the chronic instability and uncertainty that drive it constantly to seek more project business. This option would have obvious, unwelcome implications for the Union's strategic position.

The second option, which we urge IUCN and its donors to choose, involves a transition to framework funding at regional and country level, and a reinforcement of current framework funding at global level. Matched by a decline in project funding agreements, this transition would not necessarily mean a net increase in donor transfers to IUCN, although such a transfer is certainly feasible if a broader resource base is secured in these donors' governments and societies. This is a challenge to the donors as well as to IUCN. We urge all parties to accept it.

## 7. Positioning IUCN

### 7.1. Introduction

Having commented on many aspects of IUCN's work, structure and quality in the sections above, we now return to an analysis of its strategic position and prospects, ending with some ideas on what sort of position and character it might have ten years from now.

*...assess the strategic relevance of IUCN in the broader sustainable development context. In particular... assess the extent to which IUCN is able to position itself to effectively address emerging issues on the international environment-development agenda; and the extent to which IUCN adds value in terms of the poverty-environment nexus and the advancement of international environmental governance.*

TOR, Annex 1.

### 7.2. Thematic positioning

IUCN's vision and mission commit it to tackling an immense range of interlocking issues. New paradigms and processes for addressing these issues emerge constantly at global, regional and national levels. Does this make 'mission creep' inevitable for IUCN? During the current quadrennium, IUCN has shown itself adept and intellectually capable in its response to the many emerging issues in the global environment and development arena. We noted in section 2.3 that IUCN is addressing more and more issues and processes, although the framework and strategy of the current Intersessional Programme have helped provide logic and some focus for this expanding agenda. But the current Programme has remained more a permissive, justifying framework than a driver of thematic direction. The first draft of the 2005-2008 Programme suggests that further focus will be achieved in the next quadrennium, but that the Programme will remain indicative – as is inevitable when the planning is not yet linked to resources (section 3.6.1).

**We endorse** two trends that have emerged in IUCN's thematic positioning:

- while confirming the importance of working at species and biome levels and corresponding socio-economic issues of management, value and use, the Union is giving increasing attention to ecosystems and landscapes, as in WANI and the forest landscape restoration work in Eastern Africa. This more challenging approach is appropriate not only because of the more integrated technical understanding that it offers but because it is a clearer way to demonstrate the causal relationships between the state of nature and the state of societies. The Forest Programme's work on 'landscapes and livelihoods' typifies this important trend, as does the decision of the Secretariat to adopt an 'Ecosystems and Livelihoods' structure in Asia. However, we note that, despite the widespread adoption of the 'ecosystem approach' by IUCN and, for example, the CBD, there remain fundamental scientific queries about the way in which the approach has been formulated (M. Holdgate, pers. comm.);
- IUCN seeks increasingly to alleviate poverty through its work to tackle biodiversity loss and environmental degradation. It has positioned itself convincingly in this regard, amply demonstrating the causal relationships. Most notably in Uganda, it has shown itself highly competent in support to policy processes such as Poverty Reduction Strategy Papers (PRSPs) by emphasising the role of sound environmental management at all levels in society. (It has done similar work in Bangladesh, Pakistan and Senegal.) However, too much emphasis on poverty alleviation in IUCN's Programme would be inappropriate. Formal poverty alleviation processes are not being undertaken in all parts of the world, and are meaningful in fewer. In any event, the current narrow focus on poverty will not last, as development agencies realise (partly with the help of IUCN) that a broader range of environmental and social issues have to be addressed if livelihoods are to be sustainably enhanced. Instead, IUCN needs a convincing and durable thematic position that embraces livelihoods and the natural environment. This position should be clearly articulated with globally approved paradigms and programmes for improving the human condition – all of which, thanks partly to IUCN's work over the decades, now integrate caring for the earth.

It is hard for IUCN to avoid the charge of mission creep unless it has a more clearly stated rationale for its thematic positioning and coverage. The foundations for that rationale are well established in the draft Programme for 2005-2008. The Union should build on them. In the first instance, this explicit definition of thematic position should apply to the work of the Secretariat and Commissions, while envisaging a more formal future role for Members in the Programme.

**We recommend that IUCN develop and apply a thematic positioning strategy for its Programme that is based on the following principles:**

**IUCN should aim to have access to knowledge, and policy positions, on all issues pertinent to its vision and mission;**

**the work of the Secretariat and Commissions should focus on applying the KEG strategy and achieving the Programme's Key Results with regard to those themes on which they can add value most cost-effectively;**

**on other themes, the Secretariat and Commissions should restrict themselves to developing efficient knowledge networking (as opposed to knowledge generation) and the articulation of policy positions for the Union;**

**the Union's strategy should thus grade themes and issues: from those where it can play a leading role itself, through those where it plays a subordinate but significant role in partnerships with more competent agencies, to those that fall entirely outside its mission;**

**the role of the Chief Scientist in exploring the boundaries of the Union's thematic position should be maintained;**

**IUCN should maintain a mechanism such as the 3I-C Fund for the stimulation of thematically innovative thinking and strategies.**

This recommendation has three important implications:

- as IUCN already accepts, it will never have the strength in the conventional **social sciences** that it has had in the natural sciences;
- the **PBIA Unit** should continue to steer IUCN's key role in cross-cutting MEAs such as the CBD (while more specialised MEAs like Ramsar and CITES are handled by the relevant global thematic programmes). But it should also maintain the Union's awareness, policy and partnerships in that outer ring of global environmental issues and governance processes where it cannot be a leading source of expertise or play a prominent role;
- this leads to a third implication, which is the importance of **partnerships** in IUCN's thematic positioning.

### **7.3. IUCN's role in international environmental governance**

International environmental governance does not take place only at the global level. For poorer countries to engage effectively with these global processes, careful national preparations are necessary. Particularly in its support to governments preparing for Conferences of the Parties (COPs) of the CBD, IUCN has been active at this second level. But important international governance work also takes place at regional level: we quoted several instances of IUCN's role in regional forums in section 2.3.2 above.

**We endorse** the growing contribution that IUCN makes in a number of international environmental governance initiatives at regional level. Arguably even more than initiatives at global level, however, these regional initiatives are subject to the vagaries of politics and the often limited capacity of the environment ministries that are tasked with taking them forward.

IUCN plays a crucial role in these environmental governance processes. But despite the time and energy that the international community continues to devote to them, there is a widespread despondency, especially in the South, about what they can really achieve. Many observers perceive the world's increasingly dominant hyperpower to be either reluctant or directly hostile with regard to the international environmental governance initiatives introduced in these forums. However, these processes are often the only chance that the weaker countries of the world have to promote their views.

**We recommend that IUCN maintain its commitment to facilitating and enhancing global multilateral processes of environmental governance. IUCN and funding agencies should negotiate the provision of resources to make this possible.**

A major achievement for IUCN during the current quadrennium was its presence and performance at the WSSD in 2002. As the only conservation agency with UN observer status, and as an organisation committed to multilateralism in international environmental governance, IUCN should develop a stronger and more structured presence at the heart of the UN system. One important role for such a presence should be the promotion of effective environmental action through the CSD.

**We recommend that IUCN seek funds to establish and operate a small office at UN headquarters in New York.**

There are important North-South political dimensions to the environment and development debate, as well as conceptual disconnects that need to be overcome. The WSSD gave disappointingly little attention to environmental issues, and a key role for IUCN over its next quadrennium must be to strengthen the profile of the environment in action for sustainable development. Many in the South are dismayed at how Northern interests have pushed environmental concerns into development debates, for example at Doha. IUCN should act within its global constituency to promote transparency and understanding on environment-development linkages, while working through its Northern members to enhance Northern governments' local and global environmental agendas, as well as the environmental impacts of their economic policies – notably trade and agriculture. At the conceptual level, environmental interests within and beyond IUCN – for example those working on invasive species – need the Union's support in understanding the economic and development dimensions of their work.

There is much more that IUCN could do, through its often powerful Northern members, to influence the stance of the world's stronger nations in international environmental governance. A related role for Members in these countries is to work in a much more co-ordinated manner to influence their domestic environmental policies.

**We recommend that the primary role of the IUCN Montreal and Washington offices should be to work with Members in Canada and the United States to execute the Union's mission with governments and society there – addressing both domestic and global agendas. As Members take greater responsibility for growing Programme components in these countries, the Union should prepare to scale down and possibly withdraw its offices there.**

We explain in section 3.6.2 that we do not envisage Members ever running the Programme without the Secretariat. The latter will always have an essential role to play, although that role should be very different from what it is now. We cannot predict now whether it will require a physical presence in Washington and Montreal. In the light of the Union's 'Observer' status at the United Nations and the evolving role of the Secretariat in relation to the Membership, IUCN should examine its strategy for Secretariat functions and locations in North America.

Western Europe has an enormous ecological footprint on the planet as a whole. Through various governments' development funding agencies, it provides much of IUCN's budget. A large proportion of the Union's Members are based there. Yet IUCN's Secretariat and Programme have had little presence or impact in that part of the continent. Efforts began in 2002 to redevelop the Regional Office for Europe, now located once again in Brussels.

**We recommend that IUCN negotiate with European governments to secure the resources for a long-term strategy of developing a convincing presence in Brussels in order to influence international environmental governance within the EU and to influence the stance of the EU in global sustainable development and environmental governance. Like offices in North America, the Brussels office should be working to build Members' role in the Union's Programme. As Regional Office for Europe, the Brussels office should also oversee capacity building (where needed) for Members in its region.**

These recommendations focus on the role of the Secretariat and Members in North America and Europe because these are areas where the Secretariat has offices to work with groups of strong and influential Member organisations. But it is equally important for the Union to build the same role for Members, balanced by the same ultimately adjusted role for the Secretariat, in other richer countries like Japan, Australia and New Zealand. Nor should this strategy assume a simple divide between 'North' and 'South'. IUCN should be considering how to build and balance the roles of Members and Secretariat in rapidly developing middle income countries, too.

As with Washington and Montreal, the respective roles of the Secretariat and Members may evolve in such a way in Europe that a Brussels office is eventually no longer needed to co-ordinate them. But in Brussels, as in New York, a second rationale for an IUCN office is the influence it should have on international environmental governance – in the Brussels case, through the globally significant regional structures of the European Union.

IUCN offices in richer areas of the world may have a role in fund raising, too. We return to this issue in section 7.5 below.

IUCN's work remains highly responsive to the goals and objectives of the CBD. This is emphasised again in the draft of the 2005-2008 Intersessional Programme. Especially in the first half of the current quadrennium, IUCN continued its high profile and active facilitation at COPs of the CBD, using the now well-established mechanism of the GBF to help span the government-NGO divide (Turner and Gawler, 2002). The SDC funding that supported much of this work has now ended. Part of the rationale for that termination was that the CBD and its approach had been successfully mainstreamed in many of the governments and societies with which IUCN had been working. But the need to support weaker governments in their CBD involvement, and to advocate IUCN positions at the CBD, remains.

**We recommend that IUCN and its funding partners, taking into account the existing emphasis of Netherlands framework funding on the Union's role at the CBD, consolidate an expanded medium-term resource package to enable the PBIA Unit to (a) maintain a core set of briefing and facilitation services for developing countries' participation in the CBD; (b) operate the Global Biodiversity Forum twice a year for meetings linked to international environmental governance events.**

As in its thematic positioning, IUCN must decide where to allocate its limited resources across the bewildering array of international environmental governance processes to which it might contribute. **We endorse** the work being done by the PBIA Unit to launch a review of issues, policy processes and IUCN roles, which will report by the end of 2003. Without wishing to prejudge the conclusions that the review will reach, we suggest that several tiers of engagement in international environmental governance be considered:

- processes close to IUCN's thematic heartland where the Union has an established role, such as CITES, the CBD, the World Heritage Convention and the Ramsar Convention;
- processes pertinent to established global thematic programmes of IUCN in which it is either impractical or inadvisable for IUCN to invest heavily and where greater emphasis should be placed on partnerships with other participating agencies, such as the UN Framework Convention on Climate Change, the UN Forest Forum and the UN Convention on Combating Desertification;

- processes for which it is important to have policy positions and for which Members are requesting advisory services but for which there are no corresponding thematic programmes or Commissions and for which it is impractical to develop more than a limited capacity in the Secretariat.

We have made a number of expensive recommendations with regard to IUCN's role in international environmental governance. We are unable to estimate the cost of these recommendations, and reluctant to put them in order of priority. The recommended resources for CBD and GBF work would build on recent and current activities and achievements. Not to provide them would be to sanction a slide backwards in a core area of the Union's commitment. Not to fund an effective advocacy presence in New York and Brussels is to sanction critical shortcomings in the Union's contribution to international environmental governance. All these recommendations are justified because governance is the apex of the Union's strategy and because, in an increasingly globalised world where the poor and weak continue to lose influence over their economy and their environment, global action is critically important. If the nations of the world, and especially the rich and powerful ones, do not achieve effective and equitable international environmental governance, there is no chance of halting biodiversity loss and no hope for the world's poor. Helping IUCN make international environmental governance work should therefore be a priority for funding agencies, including those that have a poverty focus.

#### **7.4. Institutional positioning**

As we explained in section 2.3.3, IUCN's institutional positioning in the global arena of environmental and conservation agencies is satisfactory. Its comparative advantages and consequent niche are well recognised and were consistently explained to us by many interviewees in the broader institutional environment. However, there are a number of challenges to the Union's institutional positioning.

One of these challenges is internal. Is IUCN's **Membership** adequately inclusive of the constituencies that are committed to the Union's vision? Especially in the South, there are socially and economically orientated organisations – focusing on those two pillars of sustainable development – that recognise the importance of the environmental pillar, particularly as they tackle poverty and livelihood security. At present, an organisation without a “substantial record of activity in the conservation of nature and natural resources” (Statutes, Article 7(c)) cannot become a Member of IUCN. Although the Membership Unit at Headquarters does not consider this clause to be an impediment, ORMA told the ER of its disappointment in being unable to proceed with the membership applications of some Meso American organisations that were committed to IUCN's mission and wanted to contribute to its work.

**We recommend that Article 7(c) of the Statutes be revised to allow Membership to organisations with a substantial record of activity in one or more fields of work that contribute to IUCN's mission.**

A second challenge is one of the longest-running dilemmas for the Union. It links, as we shall show, to the third challenge. It concerns how IUCN positions itself relative to the **business community**. IUCN still has no clear strategy on how to structure its interactions with the private sector across the Union and across the world. Should companies be able to become Members? Should they be eligible for some kind of associate membership? How can the private sector contribute to IUCN's Programme? Should the Union accept funds from companies? In fact, IUCN's ongoing uncertainty about the private sector is partly rooted in two misapprehensions. The first is that the private sector is so generally destructive of the environment, and so typically hostile to conservation, that closer association between it and IUCN should not be contemplated. While the pursuit of profit has certainly caused much biodiversity loss and ecosystem degradation, there is in fact a growing commitment in the private sector to make its operations environmentally sustainable. The second misapprehension is that the private sector constitutes a vast untapped pool of resources that IUCN could be exploiting. This is untrue. Companies will contribute to IUCN's mission if it is in their shareholders' interests, but should not be perceived as philanthropic grant making agencies.

While IUCN asks itself what to do about the business sector, other organisations, such as WWF and the International Institute for Environment and Development (IIED) have moved ahead more convincingly in

their links with the corporate world. It is imperative that, at the next WCC, IUCN finally approve a clear strategy that is integrated with its 2005-2008 Programme. We do not believe that Membership is a workable way for the Union to engage with the business community. Partnerships are the strategy to pursue. To this end,

**we recommend that:**

**Council give an unambiguous response no later than December 2003 to the Secretariat's proposals on the Union's relations with the private sector;**

**these proposals include specification of future terms of reference for a Business and Biodiversity Unit within the Secretariat, focusing on partnerships with the private sector for execution of elements of the Programme;**

**the Secretariat budget for 2004 include an allocation for the operation of the Business and Biodiversity Unit, drawing if necessary on core funds;**

**the current Private Sector Engagement Project interact intensively with the preparation of the next Intersessional Programme over the rest of 2003, so that the new Programme specifies how the private sector can contribute to its execution.**

IUCN's third institutional positioning challenge, then, is making **partnerships** work for the Union. We see partnerships as a key mechanism underpinning IUCN's distinction between what it can do best itself and what efforts towards its vision are best done by others. As we have just explained, partnerships are also the way that IUCN can interlock with parts of its constituency that are not formal components of the Union. Such partnerships should be close, long-term, sustainable alliances with organisations that can fulfil any of these functions. For example:

- partnerships are the best way for IUCN to structure its interaction with the private sector. Foundations for such arrangements have already been laid, but IUCN needs to ensure that these are partnerships rather than grants. The WBCSD told us that it is frustrated in its efforts to build such partnerships because IUCN has no resources to invest in them, whereas organisations like WWF do;
- partnerships are the way in which IUCN should access knowledge from networks and organisations that are more competent in fields outside the Union's own thematic heartland. The existing informal partnership with the International Centre for Trade and Sustainable Development is an example;
- operational partnerships are the way for IUCN to pursue its mission in thematic fields where its Secretariat, Commissions and Members lack full capacity: for example, in fields such as climate change, trade and aspects of water conservation and management. This applies to all stages of the IUCN strategy: knowledge generation and management; empowerment; and (international) environmental governance.

**We recommend that, in its next Intersessional Programme, IUCN give more focused attention to developing partnerships as working links beyond the constituent parts of the Union itself: in particular, with the private sector and with agencies and networks in thematic areas where it does not have full capacity.**

At present it is common for the Secretariat to speak of its partnerships with Members in execution of the Programme. These are not the partnerships we recommend here. Since Members are an integral part of the Union with at least as great a responsibility for its Programme (section 3.6.2), it should hardly be necessary to refer to their sharing the Programme with the Secretariat as 'partnership'.



## 7.5. Vertical positioning

Section 2.3.4 outlined the enormous vertical range of IUCN's work around the world, from remote rural nature reserves and resource user groups to global MEA gatherings. The Secretariat and some Commissions, sometimes collaborating with Members, continue to operate many field projects to generate knowledge and empower resource users and conservators. IUCN cannot lose touch with field work. It is essential for a credible policy-practice linkage, and scientific and social quality in the field is a crucial part of the Union's comparative advantage. But IUCN should follow two principles in this regard:

- other things being equal, Members (and, where relevant, Commissions) should take the lead in field level work. The Secretariat should only have the lead implementation role where these other parts of the Union clearly lack capacity or are inappropriate for other reasons. Normally, the Secretariat's role should be one of co-ordination and support. This includes active participation in the design of field activities;
- a key part of the co-ordination and support role just proposed for the Secretariat should be the transmission of knowledge from field project experience to other parts and vertical levels of the Union (except where it is appropriate for Commissions to play the lead role in this regard). This is a particularly crucial role when, as often happens, external contract staff are hired to execute field projects.

IUCN has a patchwork of country offices across the world representing a very varied history of developing its presence and Programme since the 1980s. There has been no coherent strategy in the development of country presence: rather, offices have been established (or not) according to local circumstances. Developing a country office can be a painfully slow process: it has taken a decade in Tanzania. Closing one can be politically damaging, as the Meso American experience and more recent negotiations in Niger demonstrate.

Despite the undoubted importance of regional offices and their regional activities (such as co-ordinating trans boundary knowledge and empowerment work and facilitating many regional environmental governance initiatives), **we believe that, on balance, the country level should be the primary level for pursuing all the components of IUCN's strategy.** It is the level from which the Union can reach out to engage with ecosystems and livelihoods. Government policies are the building blocks of regional and global environmental governance. Therefore, as IUCN's performance in arenas like the CBD has demonstrated, it is essential to line societies up with IUCN positions at national government level if those positions are to be successfully negotiated at regional and global levels. As we have already argued, it is at least as important to achieve this with governments in the North as it is with those in the South.

**We therefore believe that IUCN should have an organised and effective presence in far more countries than it does at present. This does not mean that it should have many more country offices.** That is not feasible and is not always necessary. Country presence can be assured by Members (as in the U.K., France and the Netherlands) as well as by the Secretariat; and, even in the latter case, it does not have to mean a country office. While face-to-face contact and local availability are undeniably effective, much can be achieved by carefully structured liaison with a national government from an office in another country.

**We recommend that IUCN articulate a strategy for country presence that:**

**specifies the strategic priorities, criteria, arrangements, resources and timelines for the introduction and evolution of an IUCN country level presence;**

**specifies an evolutionary process during which country presence and Membership are developed by the Secretariat and the National Committee gradually takes a stronger role in country presence and programming.**

We make recommendations in section 7.3 above about the roles of Members, the Secretariat and IUCN offices in richer areas of the world, with respect to international environmental governance. Another role for offices in places like Washington and Brussels can be to raise funds for the Union. Although we could not investigate the fund raising performance of these offices in detail, we are not aware of evidence that this role has been satisfactorily performed. We suggest that IUCN needs to ask itself hard questions about the fund

raising performance of these offices – particularly Washington, which has been established longer. If fund raising is to be a rationale for the existence of IUCN offices, the Union should of course be able to satisfy itself that the role is being adequately fulfilled.

## 7.6. IUCN ten years from now

IUCN management is rightly concerned to identify an appropriate vision of the way the Union might look and work in ten years from now. We conclude this review with a summary of our ten-year vision of the character and operations of the Union. It is not comprehensive, and its elements are not presented in order of priority. It is intentionally put in brief and sometimes provocative terms, to stimulate debate rather than suggest the final answer. But it is a way of highlighting some of our key ideas about how IUCN can pursue its mission.

It is worth recalling that the signatories to the CBD have committed themselves to the Global Biodiversity Challenge. This commitment, endorsed by the WSSD, is to achieve a significant reduction by 2010 in the current rate of biodiversity loss at global, regional and national levels. Members of the United Nations have also committed themselves to work towards the Millennium Development Goals, and IUCN has resolved to contribute particularly to MDG 7 (section 7.2).

### We envisage that, in ten years from now:

- IUCN will be a widely recognised and major world actor – at global, regional and country levels – in its heartland of biodiversity, ecosystems and livelihoods;
- IUCN will be able to demonstrate clearly the contribution its Programme has made to the Global Biodiversity Challenge and the Millennium Development Goals (see box);
- IUCN will have developed a monitoring and evaluation model for assessment of achievement of objectives formulated in the Global Biodiversity Challenge and Millennium Development Goals.
- IUCN will compound its comparative advantage through efficient, long-term partnerships with key institutions in complementary fields;
- these links will include strong and influential partnerships with groups of business enterprises to contribute to IUCN's Programme through the conservation and rehabilitation of biodiversity and ecosystems in their respective areas of operation;
- the coverage and execution of the Programme will be evenly balanced between the North and the South;
- at least ten per cent of IUCN's Members will be NGOs with a strong environment-livelihood agenda;
- IUCN will have a strong programmatic country presence in at least 40 countries around the world, selected strategically as representing the most important biomes and areas of biodiversity loss and environmental degradation;
- as empowerment of Members progresses and integration of Members' programmes with the IUCN Programme proceeds, Members will be playing a central, well designed and focused role in the design, planning and execution of the Programme. The Union will have a phased strategy for Programme execution that assigns a progressively greater role to Members as its empowerment of Members succeeds;
- IUCN will depend for its Programme design and delivery on a restructured, efficient knowledge management system in which Commissions, committees, advisory panels, task forces and other mechanisms constitute a network of networks, partnerships and volunteers to provide scientific support to the Union's mission;

- the Secretariat will be responsible for strategic management of the Programme, rather than directly executing all of it. It will serve as a co-ordinating, facilitating strand in the helix, compensating for weaknesses in capacity and competence in the other strands and striving to redress those weaknesses;
- as Chief Executive of IUCN, the Director General will be an *ex officio* member of the Executive Board, will provide operational leadership to the Union as a whole and be responsible for execution of the Programme by Members, the Commissions and the Secretariat;
- at least 40% of the top management of the Union will be women;
- IUCN will be managed by a Strategic Management Team of seven people drawn from headquarters and the regions, under the leadership of the Director General. This team will meet regularly to assist the Director General in all strategic management assessments and decisions. Twice a year, a broader Senior Management Group will meet, at locations that rotate around the world;
- IUCN's headquarters at Gland will have a limited number of permanent staff and a stream of visitors on long- and short-term assignments. Two major blocks of global Secretariat functions operate from locations in Asia, Southern Africa or Central America.
- the National and Regional Committees will be active and integral parts of the Union's governance system. They will have particular responsibility for endorsement of the Programme at their respective levels and for guiding the Secretariat in its strategic management of Programme implementation;
- the global governance of the Union will take place at three levels: a streamlined World Conservation Congress will decide on long-term policy issues and development strategies; the Council will provide interim policy directions for the regional governance bodies, the Commissions and the Executive Board; and the Executive Board will undertake strategic leadership and management of the Programme and business of IUCN;
- the bulk of the IUCN Programme will be budgeted and assured through long-term funding agreements at global, regional and country levels. 25% of the capacity of the Secretariat will be reserved for innovations, pilot approaches and exploratory work on the basis of project-by-project agreements with donors and partners;
- IUCN's leading financial partners will comprise various Ministries and agencies of 15 governments (including China, India and Brazil); five major NGOs; and three private foundations. The European Union will be providing full financial support to execution of the Programme in Europe, including its newer members in the east;
- through donations by Member governments and private institutions and individuals, the Union will have at least three dedicated endowment funds on a scale of about CHF 100 million each.

## **Annex 1. Terms of reference**

(revised following the donors meeting December 2002 and the Steering Committee March 14, 2003)

### **Background – the context and rationale for the evaluation**

Major External Reviews of IUCN have been undertaken by donors and IUCN on a regular basis since 1991. These Reviews provide an excellent opportunity not only for accountability to donors and stakeholders, but for reflection and the promotion of a learning culture in IUCN.

Commissioned jointly by IUCN and its core donors, the Reviews have formed an important part of the performance feedback process for the IUCN Secretariat, donors, and members and partners by providing a basis for informed dialogue on the relevancy, effectiveness and efficiency of IUCN's work. Results of these Reviews are reported to the IUCN Council and through the Council to the World Conservation Congress.

The last External Review in 1999 included a major focus on programme development and management, decentralization and regionalisation, and a minor focus on governance, commissions and financial viability. The Review provided a major positive impetus for the improvement of IUCN's programme development process, a catalyst for innovation, the strengthening of regionalisation and decentralization, and the change-management process within the Secretariat.

- Acting on the recommendations of the 1999 External Review, the IUCN Council and Directors General have undertaken the following major initiatives which are considered important milestones to note in the background for this Review:
- The development of a new Programme framework which was adopted by the membership at the Amman Congress of 2000 and serves as the ongoing focus for the planning and delivery of the current Intersessional Programme;
- The appointment of an IUCN Council Task Force on Governance with a mandate to consult with the IUCN constituency, assess the major governance reforms needed at regional and global level and propose recommendations for governance reforms to the IUCN Council and the next Congress in 2004.
- The commissioning of a Review of Regionalisation and Decentralization aimed at strengthening the operational aspects of regionalisation and decentralization within the Secretariat.
- A new management structure and process;
- A programme management information system which serves to support the new programme monitoring and reporting system.
- Improved financial management, in particular improved procedures for the delegation of financial management authority to the component parts of the Secretariat.

Recognizing these initiatives and milestones, interest was expressed by donors at the Amman Congress and at the donors meeting of 2001 in focusing the next External Review on the area of governance as a main theme for the 2003 Review. In subsequent discussions, additional dimensions have been suggested, including an assessment of how well IUCN is positioning itself to meet the challenges of new emerging issues in an increasingly complex world.

## **Objectives of the 2003 External Review**

It is agreed that the Review should contribute to a greater understanding of the relevance and impact of IUCN's programmatic work, with particular reference to its work on biodiversity, and the appropriateness of the change-management initiatives undertaken to date.

Accordingly, the main objectives for the Review are:

1. To assess the relevance, effectiveness and efficiency of the IUCN Intersessional Programme strategy.

In particular to assess whether the strategy and programme framework that bring together the components of the IUCN Intersessional Programme are adequate to effectively address the key challenges of conservation of biodiversity and the improvement of livelihoods. An important aspect of this is to assess the extent to which IUCN's work is responsive to the goals and objectives of the Convention on Biological Diversity.

2. To assess the strategic relevance of IUCN in the broader sustainable development context.

In particular to assess the extent to which IUCN is able to position itself to effectively address emerging issues on the international environment – development agenda; and the extent to which IUCN adds value in terms of the poverty-environment nexus and the advancement of international environmental governance.

3. To assess progress made in strengthening governance, organizational and operational systems, including the programming system.

In particular to assess whether the governance reforms that are underway are adequate, and that the new management structures and operational systems are well balanced to ensure effective management of a decentralized and regionalized Union. This includes the recent Regionalisation and Decentralization Review, and the IUCN Council Governance Task Force.

4. To assess the financial viability of the organization.

In particular the extent to which the management of the Secretariat's finances contribute to financial viability. This includes the management of revenue and capital generation, cost controls and risk management.

## **Approach and Methodology**

The methodology for the Review will include a combination of -

1. Semi-structured interviews and dialogues with key IUCN stakeholders – members, partners, staff members, other major conservation organizations, representatives of other actors in sustainable development that are currently not part of the conventional IUCN constituency, such as the corporate sector, finance, etc.
2. The use of existing documentation relevant to the key areas of Review, such as the Action Plan from the 1999 External Review, the results of the Amman Congress and -Evaluation, the preliminary results of the Governance Task Force, synthesis reports of performance issues from the Strategic Reviews and organizational reviews undertaken by IUCN since the 1999 Review.
3. The use of a panel of organizational specialists with experience in reviewing IUCN's work and operations at regional level.
4. The use of a panel of globally recognized experts in environment and development with high level experience in major global events such as the WSSD, Monterey Summit and other events.

The Review Team, once assembled, will be required to submit a detailed methodology and work plan for approval by the Steering Committee prior to the commencement of the Review activities. This will include the following:

- a. a draft evaluation matrix identifying the key questions and sub-questions, the main data sources and methods to be used (e.g. interview, group / panel discussion, survey, other)
- b. the draft data collection tools to be used by the Review Team – questionnaires and interview guides for stakeholder groups to be interviewed
- c. a list of key stakeholder groups and names of persons (if possible) to be interviewed and to be involved in group discussions.
- d. a work plan that sets out the responsibilities of the Review Team members and the timeframe within which they will carry out their work.
- e. a tentative structure of the final report.
- f. a detailed budget for the Review.

The methodology will be focused mainly on the organizational level, and will not examine in any depth the results of specific projects and programmes. The Programme Information Management System (PIMS) and the project and programme evaluation data base will be used to provide a sample of information on programme and evaluation results.

It is proposed that the Review draws as much as possible on existing expertise and outputs of the Governance Task Force, the Regionalisation and Decentralization Review (R&D), and the experience of those reviewers who have carried out organizational assessments in South Africa, West and Eastern Africa, Asia, Latin America and Europe.

### **The Review Team**

Mr. Gabor Bruszt has been accepted by donors and IUCN as the Review Team leader.

The Review Team members will be mutually agreed by the donors, the Director General and the Review Team leader.

The profile of the Review Team members will be senior professionals with specific expertise in the field of conservation and sustainable development at global and regional levels, and in the areas of evaluation, governance, regionalisation, decentralization and organizational assessment.

### **Management and Conduct of the Review**

The Review Team leader is responsible for the management and conduct of the Review and Review Team members, for the quality and credibility of the review process, including the design of the methodology and tools, data collection, data analysis and reporting.

IUCN will manage the administrative aspects of the Review including contracts and payments.

The Review will be supervised by a Steering Committee consisting of two representatives of IUCN's core donors, IUCN's Director General and a senior staff member. The role of the Steering Committee is as follows:

1. In the start up of the Review to sign-off on the proposed TORs, Review Team, methodology (including questions, data collection tools, stakeholder list, report outline), work plan and budget.

2. To provide guidance to the Review Team on any major issues they may have in the course of the Review. (Day to day administrative issues will be dealt with by IUCN M&E Unit)
3. To receive and discuss with the Review Team the preliminary findings of the Review and to advise on any gaps and final steps that should be taken prior to completion of the Review.
4. To sign off on the Final Review report after consultation with core donors as fulfilling the Terms of Reference for the Review, and compliance with good evaluation practice as reflected in the IUCN Evaluation Policy and the Evaluation Policies of donor agencies.

### **Timeframe**

The Review will be carried out over the following time period:

#### **2002**

Last quarter 2002: Sign-off on the Terms of Reference by core donors and IUCN  
Appointment of the Steering Committee.

#### **2003**

First & second quarter: Appointment of Review team leader and team members by Steering Committee.  
Development of detailed methodology, data collection tools, work plan and budget.  
Sign-off by the Steering Committee on the methodology.  
Review process – data collection, interviews, discussions, dialogues, analysis.  
The Review Team presents preliminary findings to the Steering Committee, donors and Council in June 2003  
Review Team receives guidance for the completion of the Review process.

Third quarter: Draft report submitted to Steering Committee at the end of July.  
Report review by Steering Committee and comments provided to the Review Team by end of September.

Fourth quarter: Final report submitted by the Review Team at the end of October.  
Report submitted to IUCN's Core Donors and to the IUCN Council meeting in December.

#### **2004**

First quarter IUCN management response prepared and submitted to donors.  
Ongoing use of the Review for change management processes.

Fourth quarter                      Presentation of Review Report and IUCN response to the World Conservation Congress, Thailand.

**Budget**

The detailed budget for the Review is to be developed by the Review Team leader following finalization of funding amounts with the donors and the Director General.

**Annexes**

Annex 1:                              IUCN Evaluation Policy



## Annex 2. Questionnaire

### Introduction

This annex shows the questionnaire that we distributed as part of the External Review. Before presenting the questionnaire, we outline our data collection and analysis methods.

### Data collection

As can be seen below, the questionnaire focused mainly on the 2001-2004 Intersessional Programme and its influence on the way IUCN works. Most of our target respondents were therefore Secretariat staff involved in Programme co-ordination, as well as Commission chairs. The Secretariat staff included global programme co-ordinators, Commission focal points, regional programme directors, regional thematic heads and global cross-cutting advisers on socio-economic issues. The IUCN M&E Initiative and Regional Directors helped us to identify appropriate respondents. The M&E Initiative also helped with follow up of respondents.

The questionnaire was also available in Spanish or French. Responses obtained in these languages were translated into English.

The response rate of 67% allows us to be confident that findings from the survey data are representative of the groups to whom the questionnaire was sent. Details of the response rate are shown in Table 7.

**Table 7. Responses to questionnaire survey**

Group	Questionnaire recipients	Number of respondents	Percentage respondents
Commissions*	10	6	60%
Global Co-ordinators*	12	12	100%
Regional Programme Co-ordinators	24	15	63%
Regional Thematic Heads	33	21	64%
Senior Advisers	3	2	67%
Whole Group	78	52	67%

\*Four people received questionnaires, and responded, in their dual capacities as Commission focal points and global programme co-ordinators responsible for programmes undertaken by or with Commissions. They are double counted as recipients and respondents in first two rows of the table above, but not in the totals. Their responses were included in analysis of the responses of each of the two groups into which they fell, but again were not double counted in analysis of the combined views of all respondents.

### Data analysis

Respondents to the questionnaire were asked to tick boxes and to write down their opinions and explanations. Quantitative and qualitative analyses were initially done for each of the five respondent groups shown in Table 7, and for the group as a whole. The Senior Advisers were subsequently merged with the Global Co-ordinators. We have used both quantitative and qualitative responses to enrich our understanding and analysis in this report. However, limited space does not allow us to present all the quantitative and qualitative data from the survey. In Chapter 3, we show only a selection of graphs giving key quantitative results. The full results have been given to the Monitoring and Evaluation Initiative at IUCN Headquarters.

## IUCN External Review 2003

### QUESTIONNAIRE

The 2003 Review Team wishes to provide the opportunity to all managers of programmes in the IUCN Secretariat to provide input to the Review Team on the Programme Objective of the 2003 Review – to assess the relevance, effectiveness and efficiency of the IUCN Intersessional Programme strategy<sup>2</sup>.

The Review is informed primarily by an analysis of strategic documentation and selected interviews with donors, partners and external stakeholders, Secretariat staff, members and Commission members. In addition the Review Team has visited three IUCN regions - Asia, Central America and Eastern Africa.

Your response will be received by one of the Review team members and will be regarded as strictly confidential. For the report, information will be aggregated by stakeholder group and synthesized. In addition to your summary assessments (provided by ticking the relevant boxes), your examples and commentary relating to each of the questions will be of particular importance to us.

**Please complete the questionnaire at your earliest convenience and forward it to [lise@evalnet.co.za](mailto:lise@evalnet.co.za) by no later than Friday 27 June 2003.**

Should you feel more comfortable being interviewed in English, French or Spanish please contact Marge Gaudard of the global M&E office to set up an interview for you ([mgg@iucn.org](mailto:mgg@iucn.org)). Telephonic interviews will also have to be completed by Friday 27 June.

Please note that for the sake of a consistent data set we have sent the questionnaire for completion also to programme co-ordinators with whom we have already held discussions at the IUCN headquarters and in the regions which we visited as Review Team.

We also recognize that not all the regional thematic program coordinators work directly with the IUCN Intersessional Program. However, we would appreciate your input on the questions relevant to your programme.

Should you require more information, please contact

**Zenda Ofir in South Africa at +27-11-880 3790; email [lise@evalnet.co.za](mailto:lise@evalnet.co.za) or [zenda@evalnet.co.za](mailto:zenda@evalnet.co.za); or**

**Stephen Turner in the Netherlands at +31-20-444 9078; email [sdturner@iafrica.com](mailto:sdturner@iafrica.com)**

Thank you for your input to the 2003 External Review of IUCN.

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<sup>2</sup> There are three other Objectives which focus on the strategic positioning of IUCN in the broader sustainable development context; progress made in strengthening the organisational and operational systems; progress made in strengthening the governance of the organisation, and the financial viability of the organisation.

<b>IDENTIFICATION</b>				
Your Name				
Position				
IUCN Program for which you are responsible				
IUCN Office (HQ/Region)				
Number of years in this position				
Telephone				
Email				
<b>To be completed by reviewer</b>	<b>Date</b>		<b>Reviewer</b>	
	<b>Quest. Code</b>		<b>Resp. Code</b>	

**THE INFLUENCE OF THE IUCN INTERSESSIONAL PROGRAMME**

Unless otherwise indicated, the following questions refer to the current (2000-2004) IUCN Intersessional Program - with which we assume you are familiar. The questions also refer to your insights and experience as coordinator of an IUCN Component Program.

Please note that when reference is made to the IUCN Intersessional Program or programmatic activities this alludes to all programmatic activities, including policy interventions and field projects.

Please mark the desired choice with an X.

1a. Has the implementation of the current IUCN Intersessional Program changed your program planning processes?

Don't know	<input type="checkbox"/>	Not at all	Only marginally	To a reasonable extent	Significantly

1b. If relevant, please explain the nature of, and the reasons for, the change(s).

2a. To what extent has the current IUCN Intersessional Program influenced the *nature* of your IUCN program (for example the program scope, focus, type of projects, subject area)?

Don't know	<input type="checkbox"/>	Not at all	Only marginally	To a reasonable extent	Significantly

2b. If relevant, please explain the nature of, and the reasons for, the change(s).

3. Please indicate the main factors that determine the selection of programmatic activities undertaken by your program and the *extent* to which these forces are an important influence in your selection.

i. Situational analyses

Don't know	<input type="checkbox"/>	Not at all	Only marginally important	Influence selection to a reasonable extent	Significant influence on selection

ii. The Intersessional Program Framework and Strategy (KRAs and KEGO)

Don't know	<input type="checkbox"/>	Not at all	Only marginally important	Influence selection to a reasonable extent	Significant influence on selection

**iii. Members' priorities**

Don't know		Not at all	Only marginally important	Influence selection to a reasonable extent	Significant influence on selection

**iv. The availability of donor or project funding**

Don't know		Not at all	Only marginally important	Influence selection to a reasonable extent	Significant influence on selection

**v. The desire for global relevance**

Don't know		Not at all	Only marginally important	Influence selection to a reasonable extent	Significant influence on selection

**vi. The desire for regional, national or local relevance**

Don't know		Not at all	Only marginally important	Influence selection to a reasonable extent	Significant influence on selection

**vii. The focus on innovation and emerging trends in conservation**

Don't know		Not at all	Only marginally important	Influence selection to a reasonable extent	Significant influence on selection

**viii. Policy imperatives, including International Conventions and regional policies**

Don't know		Not at all	Only marginally important	Influence selection to a reasonable extent	Significant influence on selection

**ix. Other**

Please describe any other forces or factors that determine your selection of programmatic activities, and indicate the extent to which these forces or factors influence your selection.

**ENHANCING SYNERGIES AND COMPARATIVE ADVANTAGES**

**4a. In the context of your program, how effectively has the current IUCN Intersessional Program increased collaboration or interaction *between the Secretariat and Members*?**

Don't know		Not at all	Only marginally	Quite effectively	Highly effectively

**4b. In the context of your program, how effectively has the current Intersessional Program increased collaboration or interaction between Secretariat and Members *compared to previous years*?**

Don't know		Not at all	Only marginally	Quite effectively	Highly effectively

**4c. If relevant, please indicate the reasons *why* the Intersessional Program has increased such collaboration.**

**4d. What are the constraints that affect this type of collaboration in your program?**

5a. In the context of your program, how effectively has the current IUCN Intersessional Program helped to increase collaboration or interaction *between the Secretariat and Commissions*?

Don't know	Not at all	Only marginally	Quite effectively	Highly effectively

5b. In the context of your program, how effectively has the current Intersessional Program increased collaboration or interaction between Secretariat and Commissions *compared to previous years*?

Don't know	Not at all	Only marginally	Quite effectively	Highly effectively

5c. If relevant, please indicate the reason(s) *why* the Intersessional Program has increased such collaboration.

5d. What are the constraints that affect this type of collaboration in your program?

6a. In the context of your program, how effectively has the current IUCN Intersessional Program helped to build vertical *regional-global linkages* within the organisation?

Don't know	Not at all	Only marginally	Quite effectively	Highly effectively

6b. In the context of your program, how effectively has the current Intersessional Program helped to build regional-global linkages *compared to previous years*?

Don't know	Not at all	Only marginally	Quite effectively	Highly effectively

6c. If relevant, please indicate the reason(s) *why* the Intersessional Program has helped to build such linkages.

6d. What are the constraints that affect this type of collaboration in your program?

7a. In the context of your program, how effectively has the current IUCN Intersessional Program helped to build vertical *local-national-regional linkages* within the organisation?

Don't know	Not at all	Only marginally	Quite effectively	Highly effectively

7b. In the context of your program, how effectively has the current Intersessional Program helped to build local-national-regional linkages *compared to previous years*?

Don't know	Not at all	Only marginally	Quite effectively	Highly effectively

7c. If relevant, please indicate the reason(s) *why* the Intersessional Program has helped to build such linkages.

7d. What are the constraints that affect this type of collaboration in your program?

8a. In the context of your program, how effectively has the current IUCN Intersessional Program built horizontal linkages *across regions*?

Don't know	Not at all	Only marginally	Quite effectively	Highly effectively

8b. In the context of your program, how effectively has the Intersessional Program helped to increase this type of collaboration *compared to previous years?*

Don't know	Not at all	Only marginally	Quite effectively	Highly effectively

8c. If yes, please indicate the reason(s) why the Intersessional Program has increased this type of collaboration.

8d. What are the constraints that affect this type of collaboration in your program?

9a. How effectively has the current IUCN Intersessional Program helped to increase collaboration *between thematic programs?*

Don't know	Not at all	Only marginally	Quite effectively	Highly effectively

9b. How effectively has the current IUCN Intersessional Program helped to increase this type of collaboration *compared to previous years?*

Don't know	Not at all	Only marginally	Quite effectively	Highly effectively

9c. If yes, please indicate the reason(s) why the Intersessional Program has increased this type of collaboration.

9d. What are the constraints that affect this type of collaboration in your program?

**INNOVATION AND RESPONSIVENESS**

10. What do you regard as the most important emerging issues in conservation that have impacted on your area of work during the past five years?


11a. In your opinion, to what extent is your program more or less innovative and responsive to emerging conservation issues now than five years ago?

Don't know	Not at all	Only marginally	To a reasonable extent	To a very significant extent

11b. If indeed more innovative and responsive - which factors have stimulated this movement in your program?


12a. How effective has the current Intersessional Program been in encouraging and supporting innovation and responsiveness to emerging conservation issues in your program?

Don't know	Not at all	Marginally effective	Quite effective	Highly effective

12b. How effectively has the current Intersessional Program done this *compared to earlier IUCN Programs*?

Don't know		Not at all	Only marginally	Quite effectively	Highly effectively

12c. If the current Intersessional Program has encouraged and supported innovation and responsiveness, please indicate the reason(s) for this.

12d. What are the constraints that retard movement towards innovation and responsiveness to emerging conservation issues in your program?

**FINANCING**

13a. How effective has the current Intersessional Program been as communication tool in your fundraising efforts?

Don't know		Not at all	Marginally effective	Quite effective	Highly effective

13b. How effective has the current Intersessional Program been as communication tool in your fundraising efforts *compared to previous IUCN Programs*?

Don't know		Not at all	Marginally effective	Quite effective	Highly effective

13c. If the current Intersessional Program has been more useful than earlier programs in your fundraising efforts, please indicate the reason(s) for this.

14. Which external and/or internal factors have had the greatest positive or negative influence on the success or failure of your program fundraising efforts during the past four years?

Factor	Highly positive	Somewhat positive	Somewhat negative	Highly negative	Effect on fundraising efforts

**PROGRAMMING TRENDS**

15. Has the distribution of activities in your program between Knowledge, Empowerment and Governance changed over the last four years? Please describe the changes (if relevant) and comment on the significance of these trends:

16a. Has the amount of direct field engagement with ecosystems and resource users in your program changed over the last five years? (Please respond only if this is relevant within the context of your program)

Not applicable		Decreased significantly	Decreased somewhat	Remained constant	Increased somewhat	Increased significantly

16b. Please comment on the significance of this trend:

17a. Approximately what percentage of your current program activity partners are IUCN Members (compared to non-Members)?

0-19%	20-39%	40-59%	60-79%	80-100%

17b. Has this figure changed significantly over the past four years? If so, in what way and what are the reasons for the change?

18. Roughly what percentage of your current program activities (in terms of number) address

a. Links between environment, poverty and livelihoods

0-24%	25-49%	50-74%	75-100%

b. Links between globalisation, biodiversity and the sustainable use of biodiversity?

0-24%	25-49%	50-74%	75-100%

c. Links between trade, biodiversity and the sustainable use of biodiversity?

0-24%	25-49%	50-74%	75-100%

d. Links between human conflict, biodiversity and ecosystems?

0-24%	25-49%	50-74%	75-100%

**GENERATING, USING AND MANAGING KNOWLEDGE**

19. Which of the following sources of strategic information do you use to direct your program planning (in terms of priorities and strategies, for example)?

Factor	Not applicable	Not used at all	Seldom used	Used to a significant extent	Used Intensively
i. Global situation analysis studies					
ii. Regional situation analysis studies					
iii. PIMS/Knowledge Network					
iv. Evaluation or review results					
v. Synthesis of specialist expertise					
vi. Information from donors					
vii. Information from other partners					
viii. Intersessional Program Framework and Strategies					
ix.					
x.					



20. Identify the main “categories of knowledge” generated through your program. Rank them from the most important contribution to knowledge generation in your program (1) to the least important. Also indicate the mechanisms (for example tools, processes) in place to maximise the chance that the knowledge generated through the program is used within and outside the organisation.

(“Knowledge categories” could include but are not limited to: lessons from field project experiences; scientific data; Commission studies; policy research; evaluation lessons).

“Knowledge category”	Mechanisms
1.	
2.	
3.	
4.	
5.	
6.	

21. In your opinion, how effective is your program in building linkages between policy, science and practice in pursuit of your program objectives? Give examples of your most important contributions in this regard, globally or regionally, during the past two years.

Don't know	Ineffective	Marginally effective	Quite effective	Very effective

Examples of policy/science/practice linkages	Use or value of linkage
1	
2	
3	
4	
5	

**THE IUCN MONITORING AND EVALUATION SYSTEM**

22. Which of the following elements of the M&E system have you used in your work?

M&E Elements	Not applicable	Not used at all	Seldom used	Used to a significant extent	Used Intensively
1. The IUCN Evaluation Policy and standards (approved by Council Oct 2001)					
2. The IUCN Guide for Programme Managers in Managing Evaluations					
3. M&E resource materials on PM&E (regional or global)					
4. Situation Analysis materials					
4. Training courses offered by M&E staff (regional or global)					
5. Collection of evaluations and reviews (regional or global)					
6. M&E Website					
7. Direct assistance from M&E staff					
8. Consultant support from the M&E office					

**23. How effective have these elements been in helping to improve your programme management and delivery during the Intersessional Programme period 2000-2004?**

M&E Elements	Not applicable	Not at all	Marginally effective	Quite effective	Highly effective
1. The IUCN Evaluation Policy and standards (approved by Council Oct 2001)					
2. The IUCN Guide for Programme Managers in Managing Evaluations					
3. M&E resource materials on PM&E (regional or global)					
4. Situation Analysis materials					
4. Training courses offered by M&E staff (regional or global)					
5. Collection of evaluations and reviews (regional or global)					
6. M&E Website					
7. Direct assistance from M&E staff					
8. Consultant support from the M&E office					

**24a. How effective has the IUCN monitoring and evaluation function in IUCN been in building monitoring and evaluation capacity in your program during this Intersessional period 2000-2004?**

Don't know	Not at all	Marginally effective	Quite effective	Very effective

**24b. Please indicate how this can be improved.**

**THE CONTRIBUTIONS OF COMMISSIONS AND MEMBERS**

**25a. How important has the contribution of IUCN Commissions been during this current Intersessional period to the area of work for which you are responsible? (to be completed by Secretariat program coordinators).**

Don't know	Of no consequence	Of some significance	Quite important	Extremely important

**25b. Please give reasons for your answer.**

**26a. How important has the contribution of IUCN Members been during this current Intersessional period to the area of work for which you are responsible?**

Don't know	Of no consequence	Of some significance	Quite important	Extremely important

**26b. Please give reasons for your answer.**

**THANK YOU FOR YOUR TIME!**

### Annex 3. Key informants

In the following list, persons met in a group interview are marked \*. People whom we interviewed in more than one capacity (for example, representatives of Members who also serve on Commissions) are marked +.

#### COMMISSIONS

**Grethel Aguilar**  
Regional Vice Chair, CEL, San Jose  
Costa Rica

**Hadley Becha**  
CEC, Nairobi  
Kenya

**Eric Bosire**  
Chair: Sustainable Use Specialist Group, SSC  
East African Region, Nairobi  
Kenya

**Holly Dublin**  
Chair: African Elephant Specialist Group  
SSC, Nairobi  
Kenya

**Macharia Gathuku**  
CEC, Nairobi  
Kenya

**Pascal Girot**  
Former CEESP Regional Chair  
UNDP, San Jose  
Costa Rica

**Juan Carlos Godoy**  
Regional Vice Chair  
WCPA, Guatemala City  
Guatemala

**Kim Howell**  
SSC  
Tanzania

**Joseph Kioko**  
Wildlife Adviser  
WCPA, Nairobi  
Kenya

**Douglas Lugumywa** +  
Chair, Governing Council  
Wildlife Clubs of Uganda, Kampala  
Uganda

**Herbert Lyaruu**  
SSC, University of Dar Es Salaam  
Tanzania

**Leo Niskanen**  
Programme Officer  
African Elephant Specialist Group, SSC, Nairobi  
Kenya

**G Rodríguez** \*  
CEC, Guatemala City  
Guatemala

#### DONORS

**Bo Gohl**  
Embassy of Sweden, Bangkok  
Thailand

**Kikkan Haugen** \*  
Senior Adviser  
NORAD, Oslo  
Norway

**Guy Jenkinson**  
European Commission, Nairobi  
Kenya

**Jane Kibasa**  
Embassy of Sweden, Dar es Salaam  
Tanzania

**Izabel Koziel**  
DFID, Nairobi  
Kenya

**Gudrun Landbø** \*  
Senior Adviser  
NORAD, Oslo  
Norway

**S. Lugeye**  
Irish Aid, Dar es Salaam  
Tanzania

**Lill Lundgren**  
SCC, Stockholm  
Sweden

**Miragre Nuvunga**  
Ford Foundation, Nairobi  
Kenya

**Per Kristian Roer**  
Second Secretary  
Royal Norwegian Embassy, Guatemala City  
Guatemala

**Cecilia Scharp**  
Embassy of Sweden, Managua  
Nicaragua

**Anne Marie Skjold**

Senior Adviser  
Royal Ministry of Foreign Affairs, Oslo  
Norway

**Erik Skoglund**

SIDA, Stockholm  
Sweden

**Jantinus Smallembroek**

Royal Netherlands Embassy, Nairobi  
Kenya

**Jan Erik Stutsrod**

Embassy of Sweden, Dar es Salaam  
Tanzania

**Åshild Strand Vigtel \***

Senior Adviser  
NORAD, Oslo  
Norway

**Gertjan Tempelman**

Counsellor, Head of Development Cooperation  
Royal Norwegian Embassy, Dar es Salaam  
Tanzania

**Jerkel Thunberg**

SIDA, Stockholm  
Sweden

**Anders Thuren**

Embassy of Sweden, Bangkok  
Thailand

**Laurent Umans**

Second Secretary  
Royal Netherlands Embassy, Guatemala City  
Guatemala

**Hans Venvik**

First Secretary Development  
Royal Norwegian Embassy, Kampala  
Uganda

**INSTITUTIONAL DEVELOPMENT PANEL**

**Marie-Hélène Adrien \***

Managing Partner  
Universalis, Montreal  
Canada

**Juliann Moodley**

Director  
Manto Management, Johannesburg  
South Africa

**Peter Morgan \***

Institutional Development Specialist  
Washington  
USA

**Zafar Qureshi**

Visiting Professor  
Lahore University of Management Sciences  
ARO, Thailand

**INTERNATIONAL ORGANISATIONS**

**Herbert Acquay**

Global Environment Facility  
The World Bank, Washington DC  
USA

**Sheila Aggarawal-Khan**

Programme Officer  
GEF Coordination Office, UNEP, Nairobi  
Kenya

**Alexander Alusa**

Deputy Director  
Regional Office for Africa, UNEP, Nairobi  
Kenya

**Paul Chabeda**

Chief  
Division of Environmental Conservation, UNEP, Nairobi  
Kenya

**Olga Marta Corrales**

Programme Officer, Environment and Energy,  
UNDP, San Jose  
Costa Rica

**JoAnne DiSano**

Director: Division for Sustainable Development  
Department of Economic and Social Affairs, United Nations,  
New York  
USA

**Alison Drayton**

Associate Director: Division for United Nations Affairs  
Bureau for Resources and Strategic Partnerships, UNDP,  
New York  
USA

**Robert England**

Resident Representative  
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