



94ª Reunión del Consejo de la UICN
Gland, 29 de abril - 2 de mayo de 2018

Proyecto de orden del día v3.0

Para información: reunión preliminar y otras reuniones (todas las reuniones se celebrarán en la sede mundial de la Secretaría a menos que se indique lo contrario)	
Junta Directiva del Consejo	28 de abril (todo el día)
Presidentes de las Comisiones	27 de abril
Presidente, DG y Presidentes de Comisiones (evaluación anual) (<i>pendiente de confirmación</i>)	
Grupo de tareas sobre el sector privado	29 de abril 13:30-16:00
Grupo de tareas sobre zonas urbanas	29 de abril 16:00-18:30
Grupo de tareas sobre cambio climático	28 de abril 10:00-12:00 (<i>pdec</i>)
Grupo de trabajo preliminar WCC-2016-Res-003	29 de abril (<i>hora pdec</i>)
Grupo de tareas GCC proceso de mociones	29 de abril (<i>hora pdec</i>)

Nota: la composición de los comités permanentes, Junta Directiva, grupos de tareas y grupos de trabajo se presenta en el cuadro de [Órganos subsidiarios del Consejo de la UICN 2016-20](#)".

Domingo, 29 de abril de 2018 AM y lunes, 30 de abril de 2018

(Lugar: sede mundial de la Secretaría)

Hora	Punto del orden del día/Contenido¹	Documentos²
	<p>Reuniones de los comités permanentes del Consejo de la UICN</p> <p><i>Las agendas de los comités forman parte integrante del orden del día del Consejo</i></p> <p><i>La tarde del domingo, 29 de abril estará reservada para las reuniones de los grupos de tareas y otros grupos establecidos por los comités.</i></p>	
<p><u>29 Abr</u> 9:00-12:30 + <u>30 Abr</u> 9:00-12:30 y 14:00-18:00</p>	<p>Comité de Programa y Políticas (CPP) (Red List A)</p> <p>1. Informe Anual 2017 de la UICN (<i>incl. la implementación del Programa de la UICN por la Secretaría y las Comisiones</i>)</p> <p>2. Cuestiones específicas relacionadas con el Programa y Políticas</p> <p>2.1 Actualización de la implementación de las Resoluciones y Recomendaciones del Congreso 2016</p> <p>2.2 Actualización de la agenda post-2020</p> <p>2.3 Actualización sobre la asociación IPBES-UICN</p> <p>2.4 Actualización de la Política de la UICN sobre Igualdad de Género</p> <p>3. Seguimiento de tareas asignadas</p> <p>4. Informes de los Grupos de tareas establecidos por el CPP</p> <p>5. Punto Focal Mundial del Consejo de la UICN para los Océanos, Propuesta de términos de referencia e informe por Peter Cochrane</p>	

¹ Código de color: **Dirección estratégica** **Supervisión** **Responsabilidades fiduciarias y rendición de cuentas**

² Todos los documentos del Consejo se incluirán en esta columna y serán accesibles a través de un hipervínculo tan pronto como estén disponibles y se publiquen en el Portal de la Unión.

	<p>6. Otras cuestiones anunciadas con antelación</p> <p>6.1 Examen de una hoja de ruta para el desarrollo del Programa de la UICN para 2021-24</p>	
<p>29 Abr 9:00- 12:30 + 30 Abr 9:00- 12:30 y 14:00- 18:00</p>	<p>Comité de Finanzas y Auditoría (CFA) (<i>Think Tank</i>)</p> <ol style="list-style-type: none"> 1. Bienvenida y aprobación de la agenda 2. Examen de las actas de la reunión anterior y verificación de los puntos de seguimiento y las decisiones tomadas, y en qué situación se encuentran 3. Informe del Responsable de Supervisión 4. Gestión de riesgos – examen y aprobación de la Política de gestión de riesgos empresariales 5. Informe del Asesor Jurídico 6. Informe del subcomité sobre viajes de los Consejeros 7. Examen y aprobación de los estados financieros auditados para 2017 <ul style="list-style-type: none"> • Examen de los resultados • Informe de los auditores • Aprobación de los estados financieros 8. Actualización sobre las inversiones y el rendimiento de la cartera 9. Resultados financieros para el T1 y perspectivas para el año 10. Actualización sobre la movilización de recursos 11. Cotizaciones de los Miembros 12. Actualización sobre los proyectos de sistemas de información 13. Examen y aprobación del reglamento de Recursos Humanos para el personal 14. Otros asuntos 	
<p>29 Abr 9:00- 12:30 + 30 Abr 9:00- 12:30 y 14:00- 18:00</p>	<p>Comité de Constituyentes y Gobernanza (CCG) (<i>Red List B</i>)</p> <ol style="list-style-type: none"> 1. <u>Cuestiones relacionadas con la gobernanza:</u> <ol style="list-style-type: none"> 1.1 Modificaciones a los Estatutos, Reglas y Reglamento recomendadas por el grupo de trabajo de la Junta Directiva 1.2 Actualización sobre la implementación de la Resolución WCC-2016-Res-003 – <i>Inclusión de los gobiernos regionales en la estructura de la Unión</i> 1.3 Examen de la gobernanza de la UICN 1.4 Manual del Consejo (<i>consideración de las herramientas para la actuación y aprobación del Manual</i>) 2. <u>Cuestiones relacionadas con los constituyentes:</u> <ol style="list-style-type: none"> 2.1 Solicitudes de admisión, incluyendo, <ol style="list-style-type: none"> 2.1.1 Actualización con relación a la votación electrónica sobre IFAW 2.1.2 Proceso de revisión de las solicitudes de admisión (si no se ha finalizado antes del Consejo) 2.2 Cambios de nombre o categoría de Miembro 2.3 Actualización sobre la Estrategia de Membresía 2.4 Comités Nacionales/Regionales, incl. <ol style="list-style-type: none"> 2.4.1 Reconocimiento de Comités Nacionales/Regionales (<i>ninguno</i>) 	

<p><i>hasta el momento)</i></p> <p>2.4.2 Estatutos revisados del Comité Nacional de Paraguay</p> <p>2.4.3 Actualización por parte del Grupo mundial para el desarrollo de los Comités Nacionales y Regionales (WCC-2016-Res-002)</p> <p>2.4.4 Informe sobre el establecimiento de Comités Interregionales</p> <p>2.4.5 Derechos de las Comisiones dentro de los Comités Nacionales/Regionales</p> <p>2.5 Cotizaciones de los Miembros</p> <p>2.5.1 Actualización sobre los Miembros cuyos derechos han sido rescindidos antes del Congreso 2016 y sobre los Miembros cuyos derechos serán rescindidos mediante votación electrónica en 2018</p> <p>2.5.2 Proceso de reevaluación de las cotizaciones para las ONG</p> <p>2.6 Cuestiones relacionadas con las ONG internacionales incl. el seguimiento a la decisión C/93/15 del Consejo</p> <p>2.7 Plan de trabajo del CCG (si no ha sido finalizado antes del Consejo)</p> <p>3. Congreso Mundial de la Naturaleza</p> <p>3.1 Lugar y fecha del Congreso Mundial de la Naturaleza 2020</p> <p>3.2 Actualización sobre la implementación de las Directrices para Delegados Patrocinados en el Congreso de 2016</p> <p>3.3 Actualización sobre el proceso de mociones</p> <p>3.4 Comité de Organización del Congreso 2020: TdR y proceso para las nominaciones</p> <p>4. Otros asuntos</p>	
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Lunes, 30 de abril de 2018

(Sala principal)

18:30-20:30	Reunión informal de los miembros votantes del Consejo de la UICN
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Martes, 1 de abril de 2018

(Lugar: Sala principal)

9:00-9:15	Punto 1 del orden del día: <u>Palabras de apertura por parte del Presidente y aprobación del orden del día</u>	
9:15-9:30	Punto 2 del orden del día: <u>Informe del Presidente y asuntos presentados por la Junta Directiva</u> <i>(a menos que estén incluidos en otros puntos pertinentes del presente orden del día)</i>	
9:30-11:00	Punto 3 del orden del día: <u>Informe de la Directora General</u>	
11:00-12:30	Punto 4 del orden del día: <u>Sesión anual del Consejo para examinar el accionar de las Comisiones</u>	
	4.1 Presentaciones de los Presidentes de las seis Comisiones de la UICN sobre las actividades de sus Comisiones <i>Que complementan los informes escritos de las Comisiones incorporados en el Documento "Informe Anual 2017 de la UICN" el cual será examinado bajo el punto 1 de la agenda del CPP. Cada</i>	

	<p><i>Presidente hace una presentación de 15 minutos seguida de preguntas y respuestas.</i></p> <p>4.2 Sesión del Consejo para examinar el accionar de las Comisiones³</p> <p><i>Esta es la primera vez desde la decisión C/88/7 (2016) del Consejo que dicha sesión se lleva a cabo sobre la base de los resultados del primer año completo de actividades de las Comisiones desde el Congreso de 2016 (teniendo en cuenta el documento "Informe Anual 2017 de la UICN").</i></p>	
12:30-14:00	Almuerzo	
14:00-15:00	Punto 4 del orden del día (continuación): <u>Sesión anual del Consejo para examinar el accionar de las Comisiones</u>	
15:00-18:00	<p>Punto 5 del orden del día: <u>Discusión estratégica</u></p> <p>5.1 Gestión de riesgos empresariales</p> <ul style="list-style-type: none"> • Aprobación de la política de Gestión de riesgos empresariales, teniendo en cuenta las recomendaciones del CFA (cf. punto 4 de la agenda del CFA) • Aprobación de la Declaración sobre tolerancia al riesgo <p>5.2 Objetivos estratégicos y prioridades del Consejo para 2017-20</p> <ul style="list-style-type: none"> • Recomendaciones de un grupo de trabajo del Consejo (a ser establecido según lo acordado en la 93ª reunión del Consejo) <p>5.3 Mejora de la gobernanza de la UICN</p> <ul style="list-style-type: none"> • Actualización del grupo de trabajo de la Junta Directiva para identificar en qué aspectos se debe mejorar la gobernanza de la UICN • Recomendaciones del CCG sobre las modificaciones a los Estatutos, Reglas y Reglamento (cf. punto 1.1 de la agenda del CCG) 	
18:30-20:30	Punto 6 del orden del día: <u>Cena de trabajo del Consejo con la Directora General</u> (Lugar: Think Tank)	

Miércoles, 2 de mayo de 2018

(Lugar: Sala principal)

Hora	Punto del orden del día	Documento/Contenido
9:00	Punto 7 del orden del día: <u>Informes de los comités permanentes del Consejo</u>	
9:00-11:00	7.1 Informe del Comité de Programa y Políticas (CPP)	
11:00-	7.2 Informe del Comité de Finanzas y Auditoría (CFA)	

³ Como parte de las "Prácticas mejoradas y reformas relacionadas con la gobernanza de la UICN" aprobadas por el Consejo en abril de 2016 (decisión C/88/7), el Consejo:

- modificó el Reglamento para aclarar que entre los períodos de sesiones del Congreso las Comisiones informan al Consejo a través de los Presidentes de Comisión
- mejoró su supervisión del trabajo de las Comisiones a través de informes anuales de actuación presentados por los Presidentes al Consejo sobre los productos, resultados, impacto y recursos planteados en relación con el plan de trabajo de cada Comisión aprobado al comienzo de cada mandato. Esto debe integrarse en el marco general de monitoreo e información de la Unión.
- decidió celebrar una vez al año una sesión del Consejo, con la Directora General, para examinar el accionar de las Comisiones.

12:30		
12:30-14:00	Almuerzo	
	Punto 7 del orden del día (continuación): <u>Informes de los comités permanentes del Consejo</u>	
14:00-16:00	7.3 Informe del Comité de Constituyentes y Gobernanza (CCG)	
16:00-18:00	Punto 8 del orden del día: <u>Otros asuntos</u>⁴	

⁴ El Consejo de la UICN ha sido informado que, luego de la primera reunión de las Organizaciones de Pueblos Indígenas desde la creación de esa categoría de Miembros de la UICN (en Hawai'i en 2016) celebrada en San José, Costa Rica del 1 al 3 de marzo de 2018, las Organizaciones de Pueblos Indígenas, Miembros de la UICN presentarán una serie de propuestas al Consejo, incluyendo, entre otras, el nombramiento de un Representante indígena ante el Consejo de la UICN en virtud del Artículo 38 (f) de los Estatutos. La agenda se completará tan pronto como se hayan recibido propuestas concretas.

Comments from IUCN Members on the draft agenda of the 94th Council meeting

(v2.0 of the draft agenda dated 28 March 2018 issued to all IUCN Members on 29 March 2018)

1. 30 March 2018

Estimada Unidad de Coordinación de los Miembros,

En la sección Estratégica, de la reunión, observo que no se incluye asuntos sobre la **Gobernanza de los Recursos Naturales**, específicamente el tema de la **Degradación de la Tierra y la Urgente Necesidad de Restauración de Ecosistemas**. Esto es clave para abordar y resolver el tema de bienestar común de las personas con la restauración de cuencas hidrográficas para la Seguridad Sostenible de Acceso al Agua de Consumo Humano; la Protección y Restauración de la Biodiversidad de Flora y Fauna; la Captura de Carbono y la Reducción de Cambio Climático; y la Seguridad Alimentaria Sostenible con un sistema múltiple de producción de alimentos sin requerir nueva deforestación, producción de cosechas de mercado para generar ingresos familiares, y restauración de corredores biológicos.

Los mejores resultados en la 94a Reunión del Concejo de la UICN,

Oswaldo Munguia
Presidente Comité UICN-HND
Vicepresidente de CEESP-UICN para Meso y Sur América

Courtesy English translation:

Dear Members Coordination Unit,

In the Strategic section of the meeting, I note that the agenda does not include matters on **Governance of Natural Resources**, specifically the issue of **Degradation of Earth and the Urgent Need for Restoration of Ecosystems**. This is key to address and resolve the issue of common well-being of people by restoring watersheds for the Sustainable Security of Access to Water for Human Consumption; the Protection and Restoration of Flora and Fauna Biodiversity; the capture of Carbon and Climate Change Reduction; and Sustainable Food Security with a multi-system of food production without requiring any other deforestation, production of market harvests to generate family income, and restoration of biological corridors.

Wishing you all the best at the 94th IUCN Council Meeting,

Oswaldo Munguia
President IUCN-HND Committee
Vice-President of CEESP-IUCN for Meso and South America

Courtesy French translation:

Chère Unité de Coordination des Membres,

Dans la section stratégique de la réunion, je note que l'ordre du jour n'inclut pas les questions sur la **gouvernance des ressources naturelles**, en particulier la question de la **dégradation de la terre et le besoin urgent de restauration des écosystèmes**. Ceci est essentiel afin d'aborder et de résoudre le problème de bien-être des populations en restaurant des bassins versants pour la sécurité durable de l'accès à l'eau pour la consommation des humains; la Protection et la Restauration de la Biodiversité de la Flore et de la Faune; la capture du carbone et la réduction des changements climatiques; et la sécurité alimentaire durable avec un multi-système de production alimentaire sans nécessiter d'avantage de déforestation, de production de récoltes marchandes pour générer des revenus familiaux, et de restauration des corridors biologiques.

En vous souhaitant un bon 94ème réunion du Conseil de l'UICN,

Oswaldo Munguia
Président du Comité UICN-HND
Vice-président de la CEESP-UICN pour Meso et l'Amérique du Sud

74th Meeting of the Bureau of the IUCN Council, 28 April 2018

BUREAU DECISION B/74/1

Appointment of additional members of the Steering Committee of the IUCN Commission on Education and Communication (CEC)

The Bureau of the IUCN Council,

On the recommendation of the Chair of the IUCN Commission on Education and Communication (CEC),

Appoints Mr Florent Kaiser (Youth Engagement and Intergenerational Partnership Representative), Mr Firas T. Abd-Alhadi (IUCN CEC Regional Vice-Chair for West Asia) and Ms Karen Keenleyside as additional members of the Steering Committee of CEC.



**74th Meeting of the Bureau of the IUCN Council
Gland (Switzerland), 28 April 2018**

Agenda Item 6

**Appointment of additional members of the Steering Committee of the IUCN
Commission on Education and Communication (CEC)**

Origin: Chair of the IUCN Commission on Education and Communication (CEC)

REQUIRED ACTION

The Bureau of the IUCN Council is invited to appoint additional members of the Steering Committee of CEC on the recommendation of the Chair of CEC.

DRAFT BUREAU DECISION

The Bureau of the IUCN Council,

On the recommendation of the Chair of the IUCN Commission on Education and Communication (CEC),

Appoints Mr Florent Kaiser (Youth Engagement and Intergenerational Partnership Representative), Mr Firas T. Abd-Alhadi (IUCN CEC Regional Vice-Chair for West Asia) and Ms Karen Keenleyside as additional members of the Steering Committee of CEC.

1. The Chair of the Commission on Education and Communication (CEC) submitted three nominations: on 5 April 2018 for Mr Florent Kaiser; on 13 April 2018 for Mr Firas T. Abd-Alhadi and Ms Karen Keenleyside on 27 April 2018.
2. Biographies of all three candidates are attached hereafter.
3. These appointments come in addition to the CEC Steering Committee appointments already made by the Council at its 91st (September 2016) and 92nd meetings (February 2017) and by the Bureau in October 2017 and again in December 2017 (both by email). The complete membership of CEC's steering committee appointed so far can be viewed on IUCN's website: <https://www.iucn.org/commissions/commission-education-and-communication/about/steering-committee-2017-20>.
4. In accordance with past practice, the Bureau's decision will be forwarded for endorsement to the IUCN Council at its 94th Meeting on 1-2 May 2018.

Florent Kaiser, proposed Youth Engagement and Intergenerational Partnership Representative on the CEC Steering Committee



Florent is a young (31) conservationist and entrepreneur who is committed to protecting and restoring the earth's forests. He teams up globally with scientist, development practitioners, rural communities and entrepreneurs of all ages to create solutions that help regenerate ecosystems and livelihoods. Currently, he is based in Lima, Peru from where he explores how purpose-driven businesses in Latin America team up with indigenous communities to help restore degraded landscapes in the Amazon.

Florent looks over 11 years of leading youth groups acting in the realm of forests and sustainable landscape. He previously acted as *President of the International Forestry Students' Association (IFSA)* and co-founded various global youth groups including the Global Landscapes Forum connected Youth in Landscapes Initiative that unites networks representing a total of over 30,000 young forest and agricultural practitioners world-wide. He participated as youth representative in various high-level education task forces and sat on numerous panels to advocate for bringing the youth and other marginalized groups in the center of decision making.

Florent believes in effective communication and storytelling to connect, teach and inspire people to collaborate, speak up and take action. He has worked with people of all ages and backgrounds in over 30 countries in Asia and Latin-America, recently spent a cumulated 4 years out living with forest and rural communities, speaks a variety of languages and is a firm advocator of inclusiveness, cross-border collaboration and diversity.

Firas T. Abd-Alhadi, proposed IUCN CEC Regional Vice-Chair for West Asia



Firas T. Abd-Alhadi is a communication specialist with 25 years of experience in designing and implementing communication and promotion strategies/plans. He currently works as the Head of Insurance Awareness Division at the Insurance Administration / Ministry of Industry & Trade of Jordan.

Prior to joining the Insurance Administration in 2007, Firas worked in several communication positions the latest of which being the Regional Communication and Documentation Specialist in EMPOWERS (Euro-Med Participatory Water Resources Scenarios), an EU-funded regional partnership. Although that was not his first encounter with environmental issues, this project that was implemented in Egypt, Jordan and Palestine during 2003-2007 introduced Firas to the practice of building knowledge communities based on multi-level stakeholder platforms as a means to build individual and institutional capacities for better management and conservation of natural resources.

Firas has been associated with the IUCN since 2009 as a communication consultant and environmental writer and a member of the IUCN CEC since 2012 which he represented in a number of events such as the IUCN West Asia Regional Conservation Forum in 2015 and the IUCN World Conservation Congress in 2016.

He is a board member and communication coordinator of the Arab World Association of Young Scientists (ArabWAYS) and is a co/author, editor and translator of several books and articles on water, environment and insurance.

Firas holds M.A. in English Literature and a double major B.A. in Arabic and English, both from the University of Jordan in Amman.

Karen Keenleyside



Karen Keenleyside has over 25 years' professional experience in environmental management and conservation, both in the private sector and with the Canadian government. She is an ecologist by training with an MSc in Zoology from the University of Toronto and is currently a Senior Advisor with Parks Canada's Protected Areas Establishment and Conservation Directorate. She is currently Vice Chair for People and Parks of the IUCN World Commission on Protected Areas (WCPA) and Co-Chair of the IUCN #NatureForAll initiative.

Karen has been active internationally throughout her career and has been a member of the IUCN WCPA since 2008 and the IUCN Commission on Education and Communication (CEC) since 2015. She led the development and publication of IUCN WCPA Best Practice Guidelines for Ecological Restoration as Task Force Chair from 2008 to 2012. In 2014, she led the Inspiring a New Generation Stream of the IUCN World Parks Congress and she has been a part of the leadership team for #NatureForAll since then.

Karen joined Parks Canada in 2007 where she has been responsible for providing science-based guidance on ecological restoration and climate change, among other files. She led the development of a Canadian protected area framework for ecological restoration in 2008 and Canada's approach to climate change adaptation and protected areas from 2009 to 2013. Since then, Karen has been bridging natural and social scientific disciplines to identify solutions in Canada and internationally for building constituencies of support for conservation and protected areas into the future.



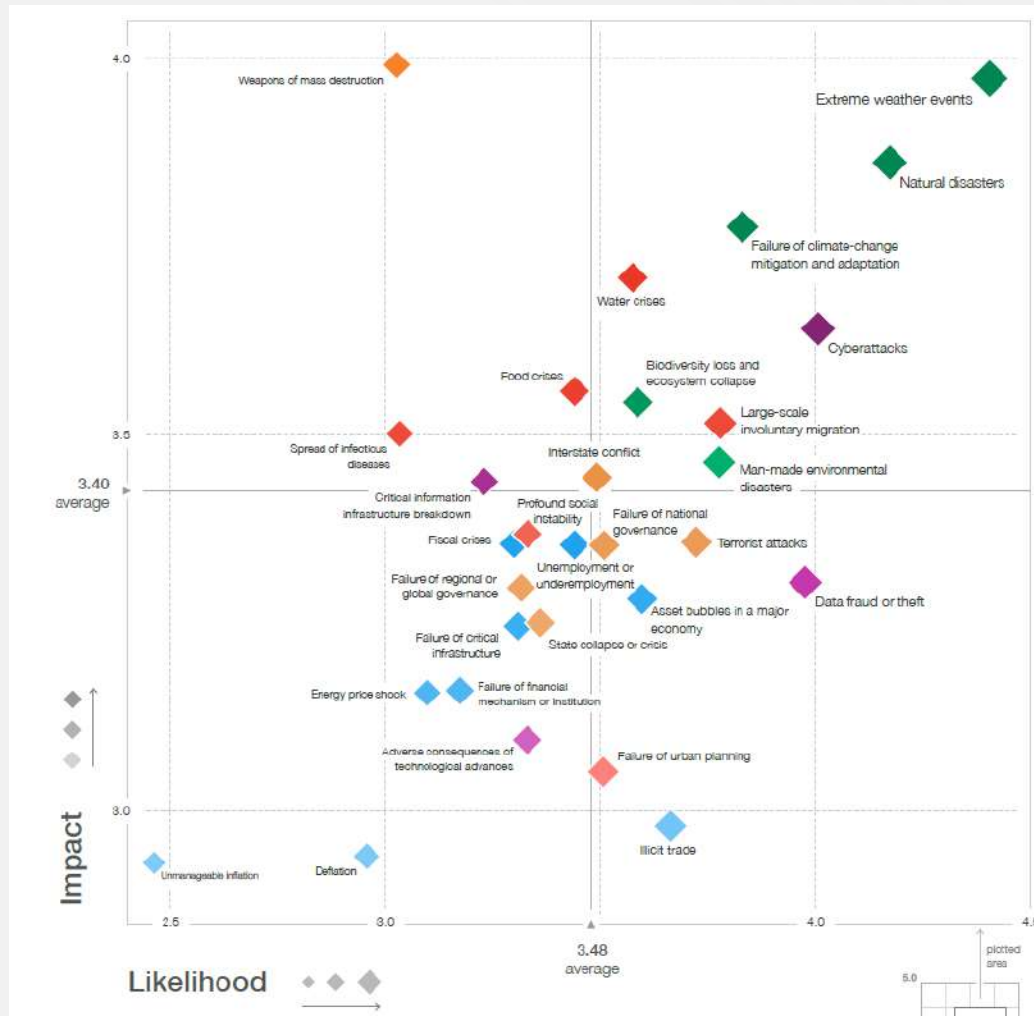
Item 3: Report of the Director General

94th Meeting of the IUCN Council
Gland, 1 May 2018

DG Priorities

- 1. Programme and Operations**
- 2. Membership**
- 3. Policy, Knowledge, Science and Economics**
- 4. Communication and Influence**
- 5. Financial Sustainability**
- 6. Secretariat Management**
- 7. Governance support**
- 8. Thematic Priorities/New Horizons**

Global Risks Report 2018: environmental concerns dominate the most dangerous risks facing the world



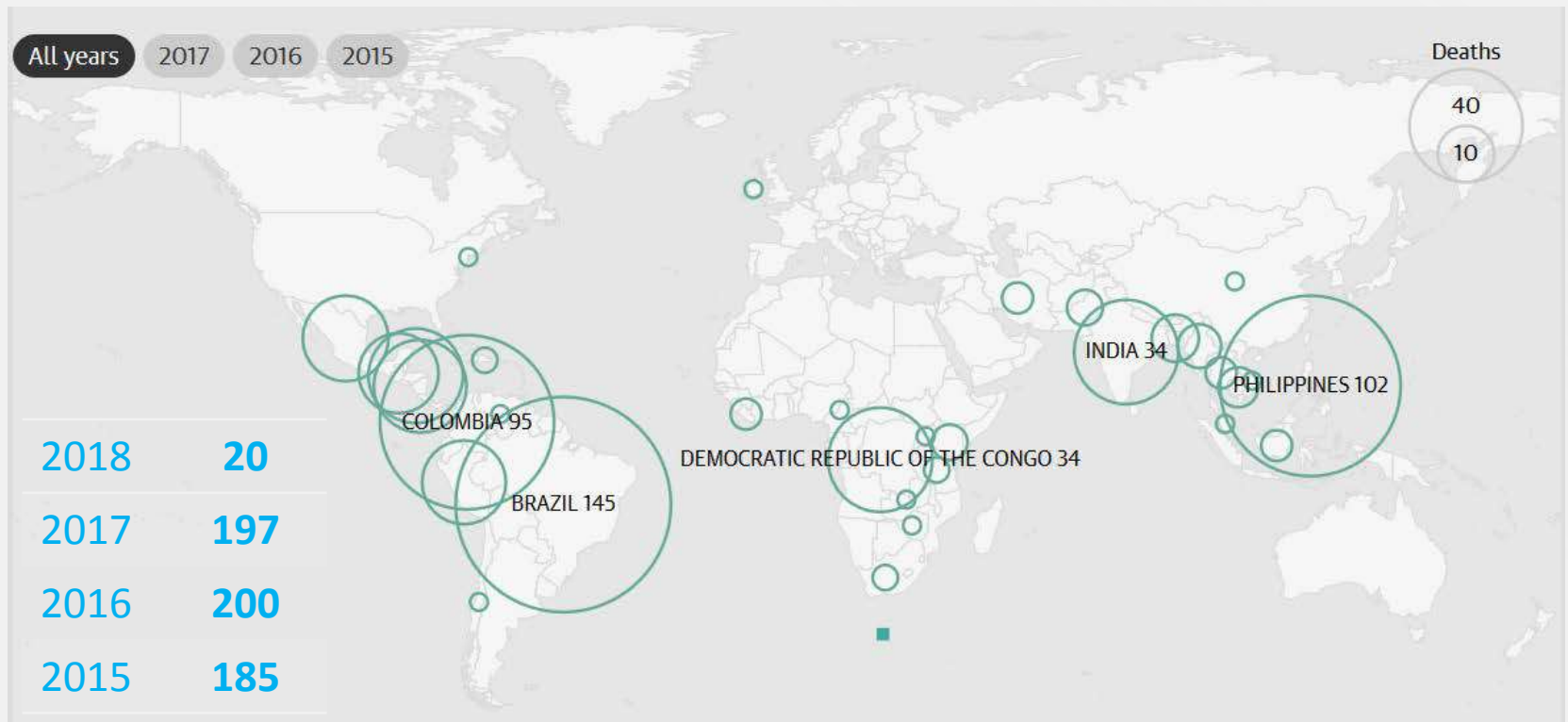
Things we learned about the environment at Davos 2018...



In our culture, we treat the Nature as mother. We also believe that man only has the right to milk it; not to destroy it. That is why, through Paris Agreement, we have assured the global community that our development process would be entirely in line with our cultural ethos towards environmental safeguards. In fact, we are not only aware of our responsibilities towards climate change; we are willing to take lead in mitigating its effects.

Prime Minister Narendra Modi

Environmental defenders killed while protecting their community's land or natural resources



Source: <https://www.theguardian.com/environment/series/the-defenders>

IUCN dismayed as Philippines seeks to declare UN Special Rapporteur a ‘terrorist’



1. Programme & Operations

Annual Progress Report 2017: drawing from Project Portal data

1. **Key achievements** (outcome stories)
2. **Programme implementation:** traffic light to assess progress against the Programme's targets; deviations and lessons learned; One Programme Engagement and programme delivery models
3. **Finance update:** including income and expenditure, efficiency, progress against 4y plan and budget performance
4. **Organizational update:** including human resources, risk control management, organizational change and compliance with project management procedures
5. **Governance:** including Congress resolutions and Council

Key achievements

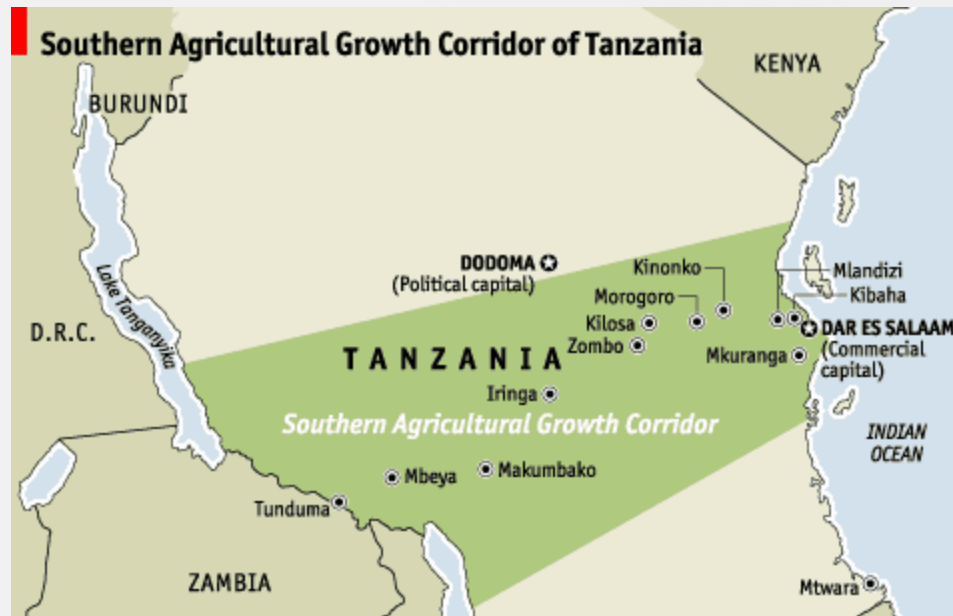


Bonn Challenge. By end 2017, 47 commitments totaling 160m ha

Unlocking USD 270m of public finance. Through analysis, policy reform and implementation

Value for money. Every \$1 spent by IUCN on FLR in Guatemala promises to generate \$56 return over 35 years to landowners who restore their land

Key achievements



Facilitated the development of village land use plans across eight landscapes and **13 villages**, benefiting **40,000 people**

Established sustainable development criteria that will be applied to **USD 2 billion of projected new investments**

In the Katuma Catchment, **5,000 farmers** now have access to more reliable and sustainable water resources

Key achievements



In 2017, Parties to **UNFCCC** agreed to its first-ever **Gender Action Plan**

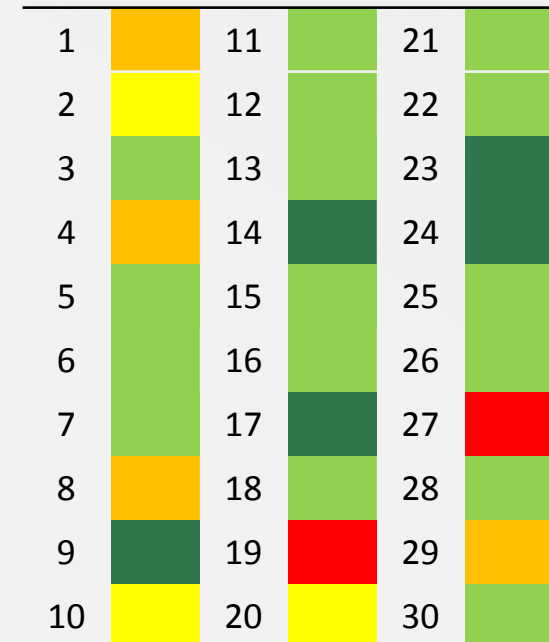
IUCN assists national governments and regional authorities in developing and implementing **Climate Change Gender Action Plans** (23 ccGAPs to date)

Forging new strategic linkages. In 2017, IUCN supported Peru in implementing its ccGAP which convened over 20 women's organisations in national climate change planning across eight priority sectors. Peru's ccGAP is informing investment on green infrastructure to manage water risks applied to **USD 15m**

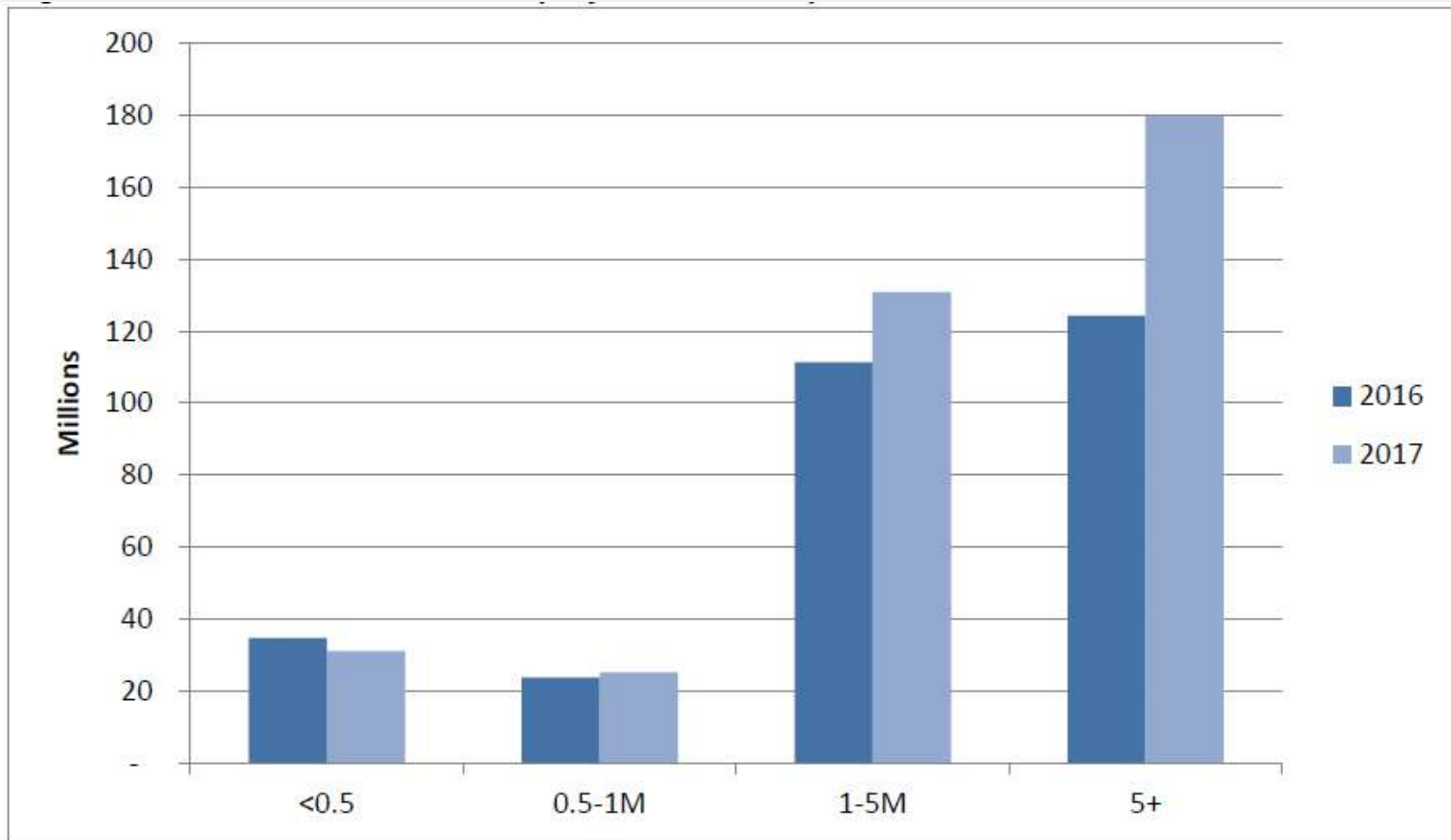
70% of the Programme Targets on track

Target achieved - >100%	On track to achieve target- >25% (if we continue on our current trajectory we expect to achieve the target by 2020 / > 25% progress)	Progress towards target but at an insufficient rate - 10-25% (unless we increase our efforts the target will not be met by its deadline)	No significant overall progress - 0-10% (overall we are neither moving towards the target nor moving away from it)	No Progress - 0%	Unable to rank progress due to lack of target, lack of data or lack of confidence in data
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- **70%** of Programme Targets are on track or have achieved their goals for 2020
- Indicators that did not reach **25%** progress in 2017 were examined in a deviations section



Number and size of the active project portfolio



2. Membership

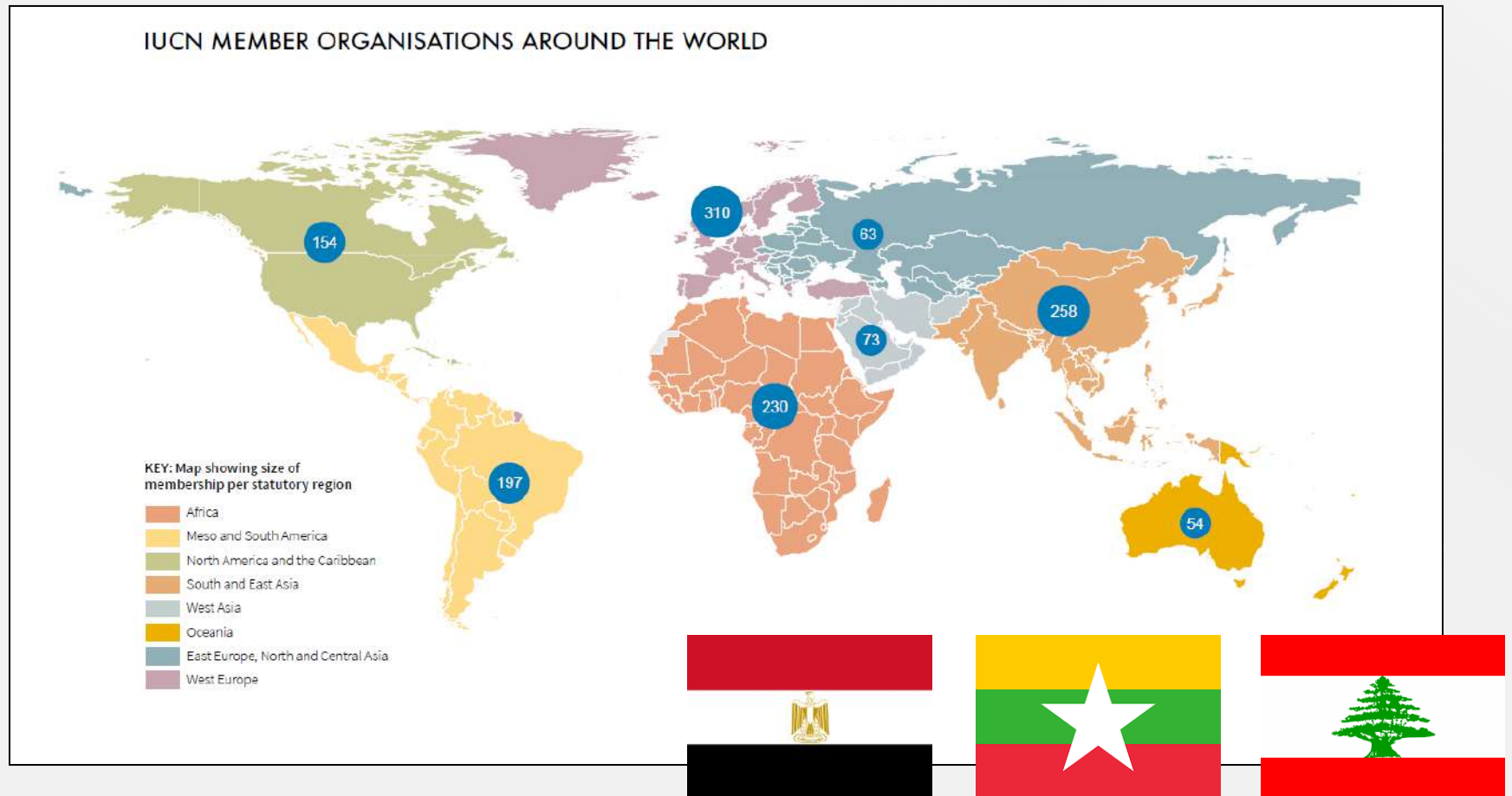
One Programme Engagement

Number and % of active projects in 2017 that engage (through contracts) Members, Commissions and Committees

	N° of active projects in 2017	% of active projects in 2017⁷
Members	177	42%
Commissions	96	22.8%
Reg./Nat Committees	9	2.1%
Total Active Portfolio	421	

Source: IUCN Project Portal, April 2018

Membership numbers and geographical presence



Examples of membership engagement: Uganda, United Arab Emirates, Finland



December 2017



January 2018



January 2018

Membership engagement: Mauritania



Membership engagement: Senegal



February/March 2018

Harmonising IO status across the Secretariat: People's Republic of China



Anniversary celebrations around the world



3. Policy, Knowledge, Science & Economics

Third session of the UN Environment Assembly (UNEA-3)



6th Session of the Plenary of the Intergovernmental Platform on Biodiversity and Ecosystem Services (IPBES-6)



March 2018



Science and Policy
for People and Nature

8th World Water Forum



Global Judicial Institute on the Environment



March 2018



IPBES-6



March 2018

Steering Committee meeting



Communities, Conservation & Livelihoods (conference)

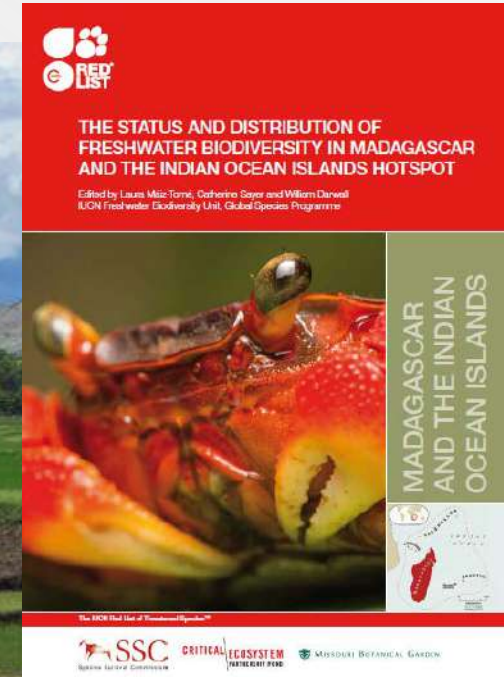


May 2018

Almost half of Madagascar's freshwater species threatened (report)



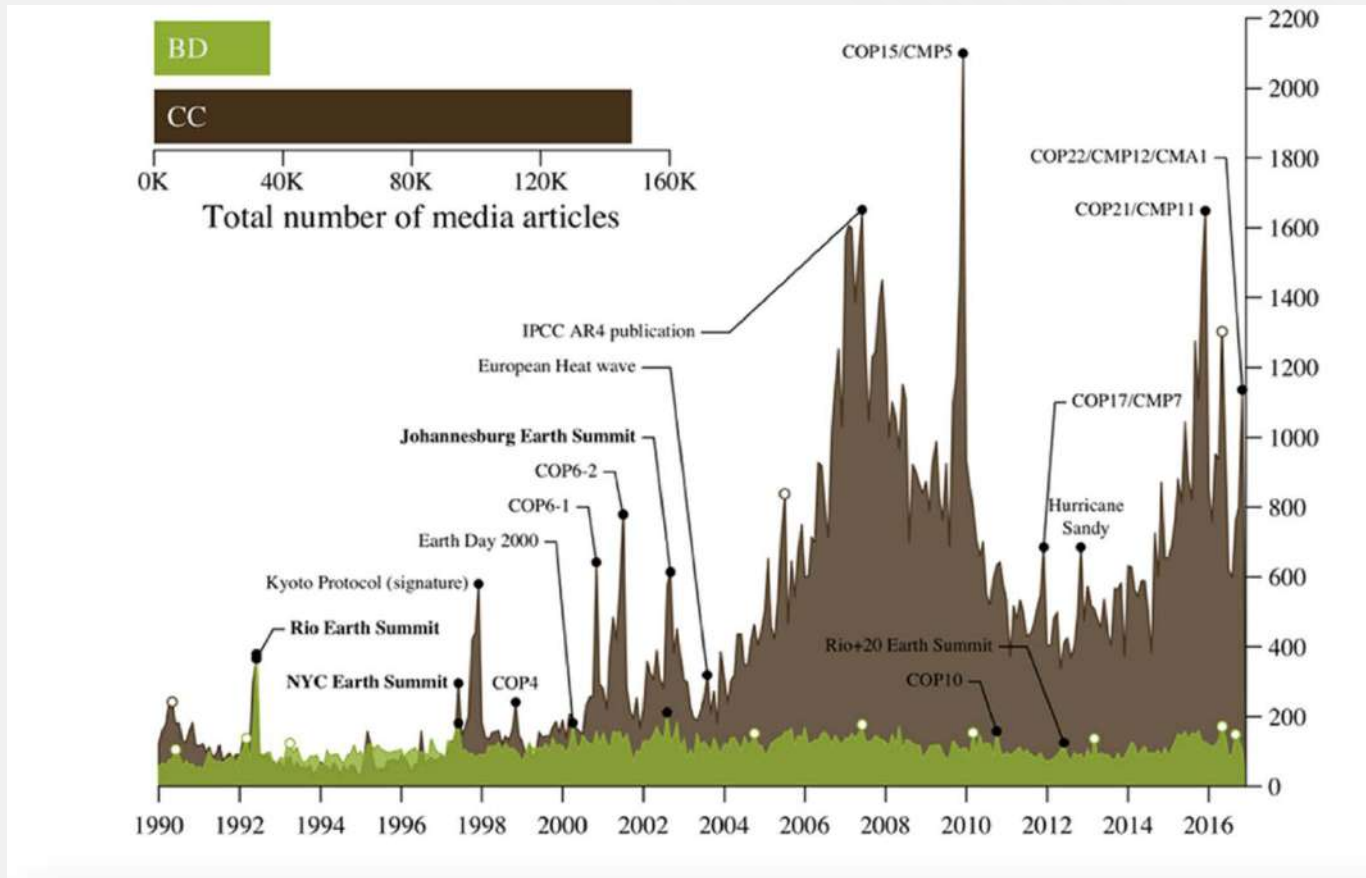
March 2018



WCPA Steering Committee meeting, Shouf Biosphere Reserve

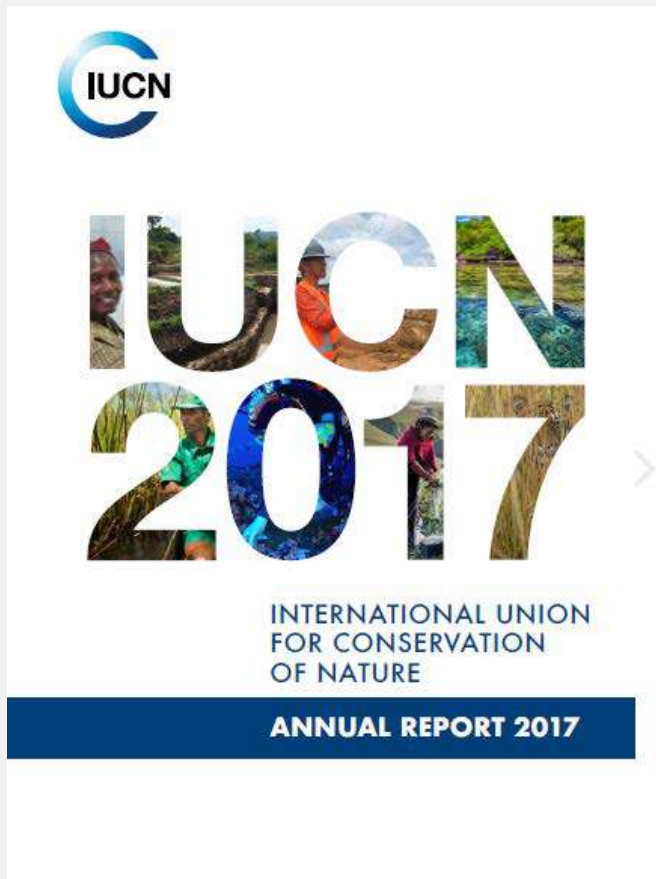


Publications Committee: communicating with impact



4. Communications & Influence

Annual report



Lacoste and IUCN join forces to champion the cause of threatened species



Social media

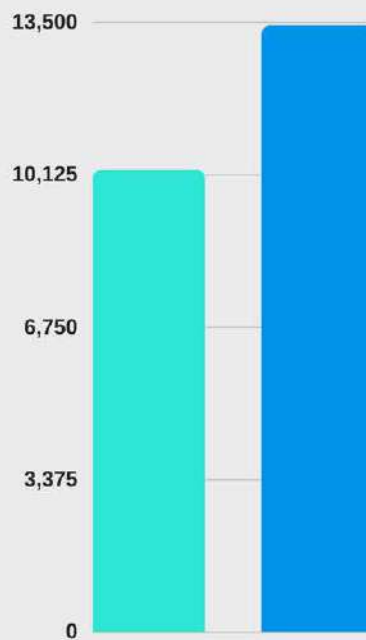


Twitter All 2017 v Q1 2018



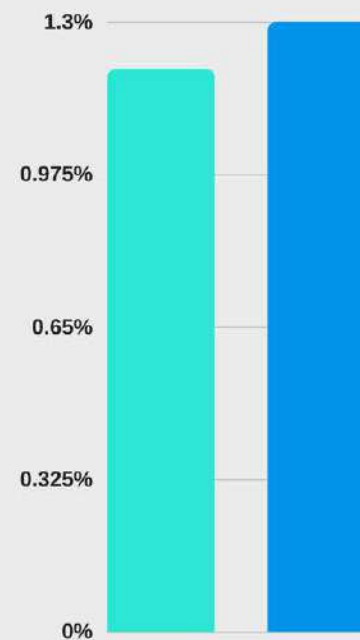
2017 Q1 2018

**Avg Impressions
per Quarter**



2017 Q1 2018

**Impressions
per Tweet**



2017 Q1 2018

Engagement Rate



4. Communications & influence

Social media



Q1 2017 V Q1 2018



No. of Tweets

12.5%
increase



Engagement
Rate

8%
increase



Followers

15,557
new followers



Impressions
per Tweet

31.5%
increase

5. Financial sustainability

2017 financial results: summary

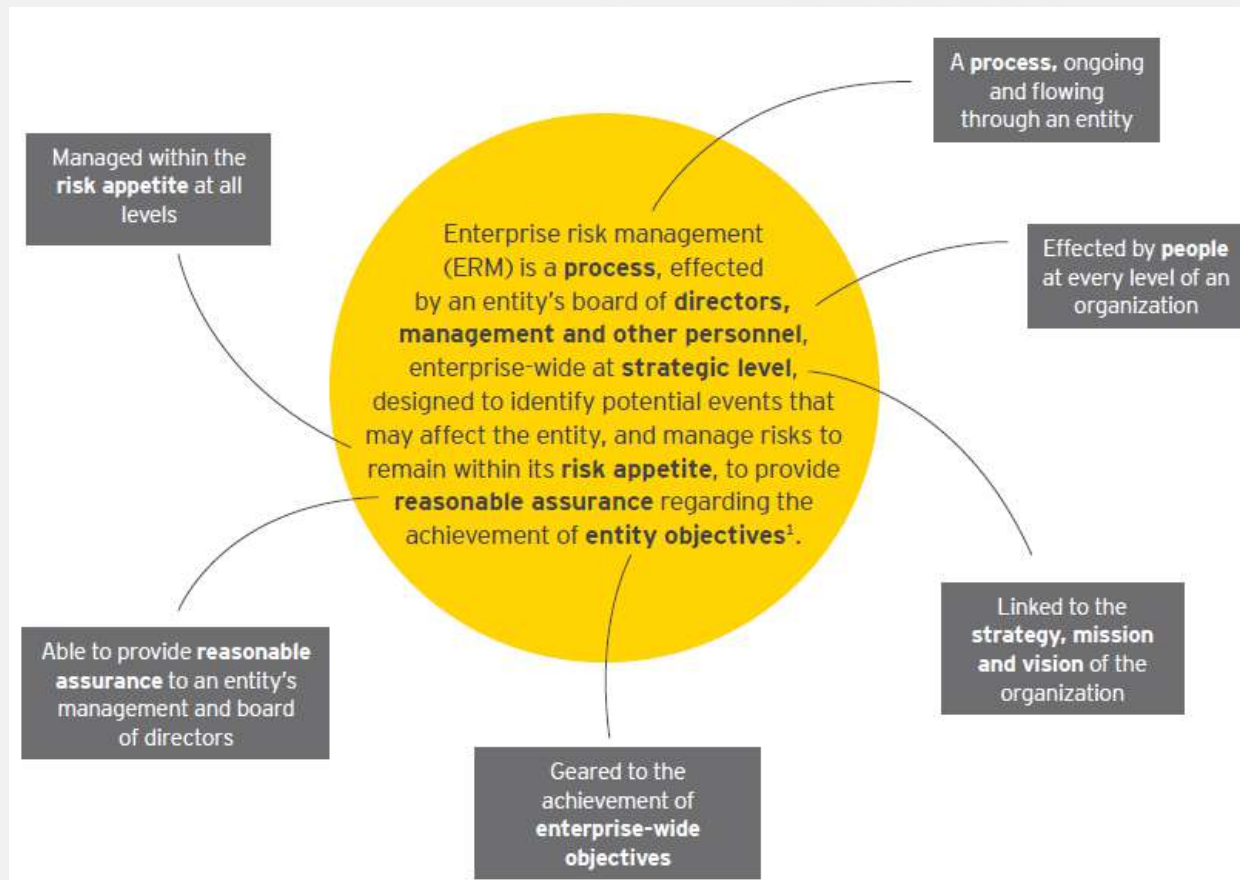
- Core income and expenditure
 - Surplus of CHF 1.1m before transfer to reserves
 - Deficit of CHF 0.1m after transfer to reserves vs. an approved budget deficit of CHF 2.0m

Framework income

	2017	2017	2017	2016
Framework partner	Actual	Budget	Variance	Actual
	CHF m	CHF m	CHF m	CHF m
Denmark	-	-	-	3.5
Norway	2.5	2.5	(0.0)	2.5
Sweden	4.6	3.3	1.3	2.9
Switzerland	2.2	1.9	0.3	2.1
France	0.5	1.1	(0.6)	0.9
Republic of Korea	0.5	0.6	(0.1)	0.6
MAVA Foundation	1.0	1.0	-	1.0
Finland	0.4	0.7	(0.3)	0.4
USA	0.8	0.8	0.0	-
Total	12.5	11.9	0.6	13.9

Formalising Enterprise Risk Management

(FAC agenda item 4)

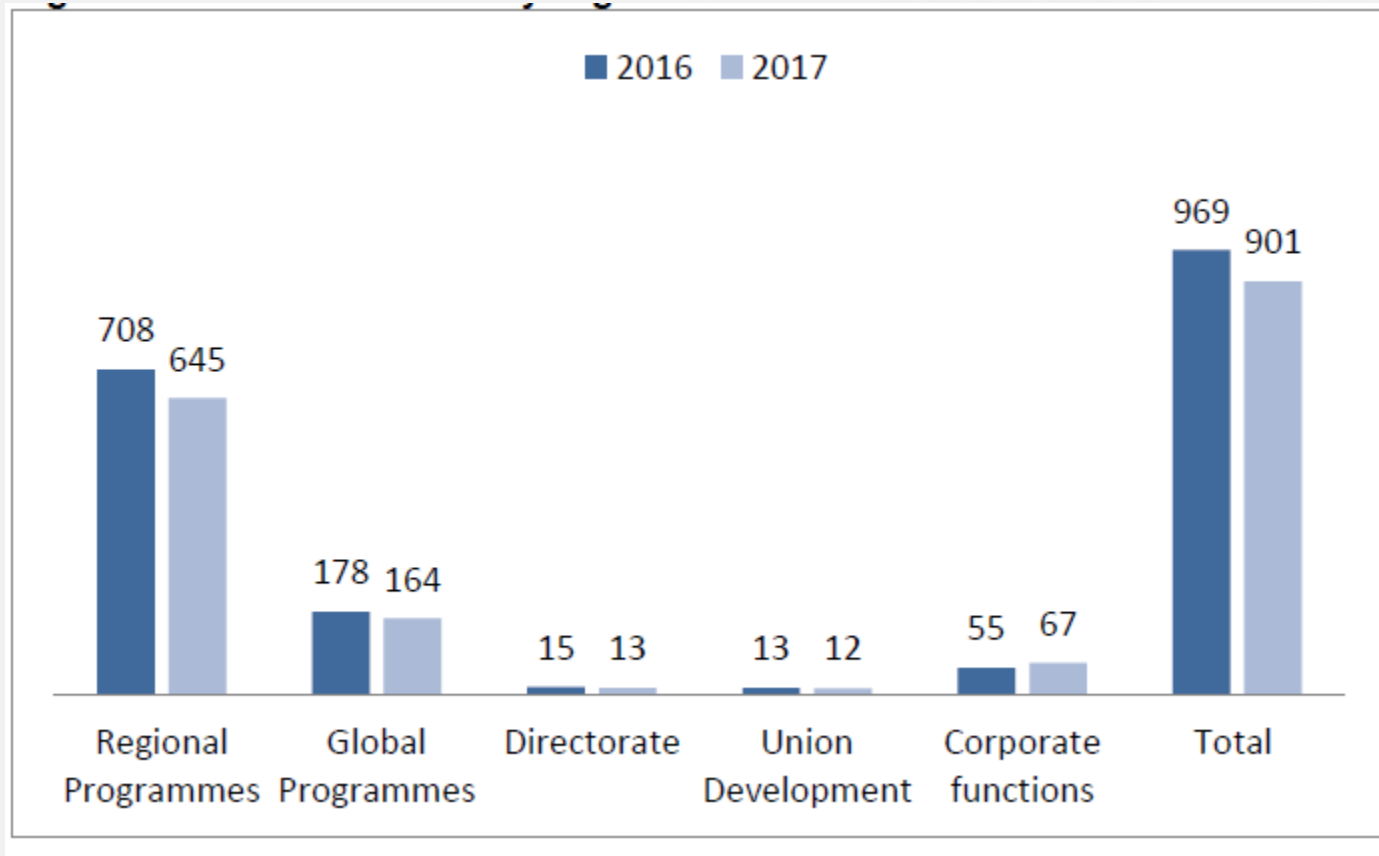


6. Secretariat management

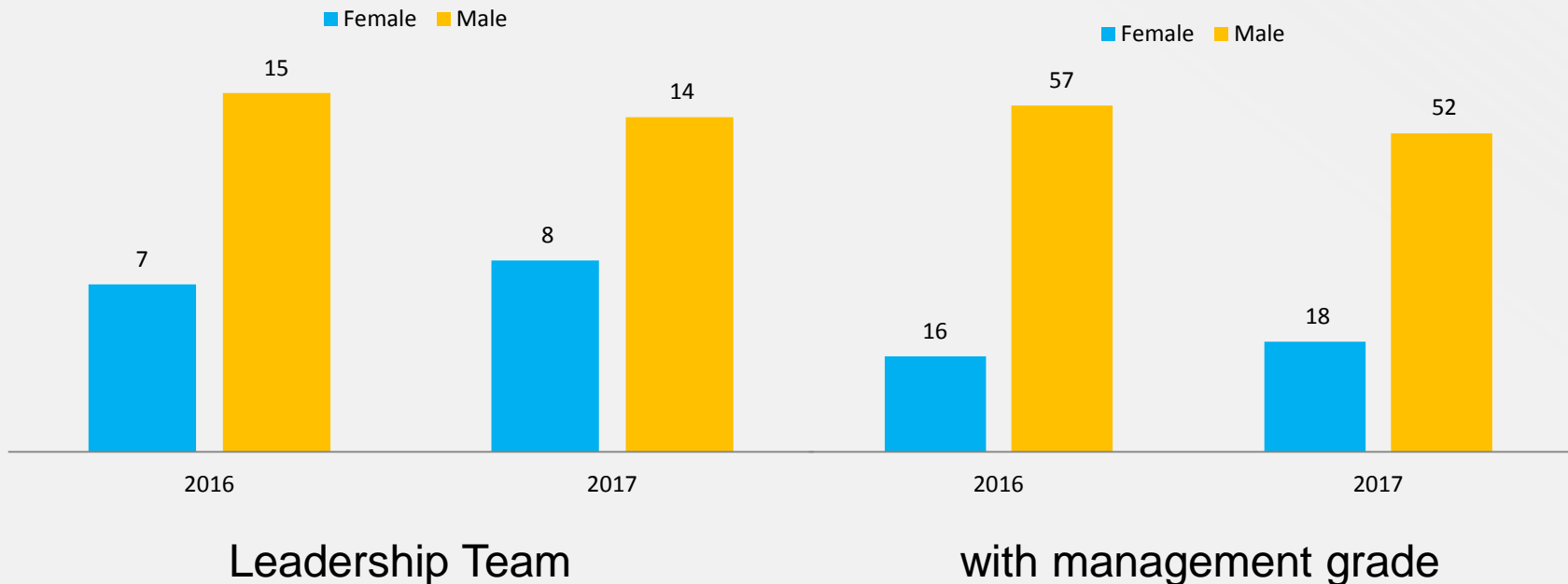
Staff morale: Pulse survey results

All Questions	2017				2017 Overall Positive %	Traffic Light	Difference to			
	Overall Positive %	Benchmark Median	Benchmark Upper Quartile	2016 Overall Positive %			Benchmark Median	Benchmark Upper Quartile		
All Questions										
I am proud to work for IUCN and believe in its mission	61	34	4	1	0	95	Green	+13	+5	+2
I enjoy working on my day-to-day tasks and assignments and look forward to going to work	42	44	9	4	1	86	Green	+9	-	-
I would recommend IUCN to others as a good place to work	32	44	18	5	2	76	Green	-	-9	-12
I believe IUCN acts in accordance with its corporate values	23	49	17	8	2	72	Green	+15	+2	-5
My direct supervisor communicates well with me, giving me clear feedback on my work and performance	32	39	14	9	5	71	Green	+12	+3	-3
I understand how my performance is evaluated	18	49	19	10	3	68	Blue	+17	-	-
My Country Manager or Unit Director acts as effective role model to employees	26	40	21	8	5	66	Blue	-	-	-
Our senior leaders (the DG and regional & global directors) act as effective role models to employees	17	41	29	9	3	59	Blue	+23	-	-
I am satisfied with how IUCN recognizes my individual performance through my salary and other recognition programmes	9	33	26	21	11	42	Red	-	-14	-20

Human resources



Number of women and men in Leadership Team; with management grade



Stamping out sexual harassment: course of action for IUCN

- Commitment, International Gender Champions for 2018
- DG's message on International Women's Day (2018/03)
- Administrative instruction to all staff sent by DG (2018/04) recalling zero tolerance of bullying, harassment - sexual or otherwise -, abuse and retaliation (as per IUCN Code of Conduct)
- Leadership Team meeting (2018/04)
- Training (2018)

NGO DEVELOPMENT · SEXUAL HARASSMENT

Oxfam announces reforms, due to meet UK aid chief after sexual misconduct scandal

By Jessica Abrahams / 12 February 2018

NEWS

Medecins Sans Frontieres fired 19 people for sexual abuse in 2017

The French aid group MSF, also known as Doctors without Borders, fired the 19 staff members after investigating 24 cases. The charity giant's revelation followed reports of sexual abuse by workers with UK charity Oxfam.

NGO DEVELOPMENT · SEXUAL EXPLOITATION

DFID chief says UK will take global lead on dealing with aid sector abuse

By Sophie Edwards / 21 February 2018

Calls for change in handling abuse allegations at top conservation group

Conservation International (CI) is one of the largest conservation non-profits in the world, with more than 1,000 employees globally and nearly three decades of history.

By Andrew Simons / 20 Feb 2018

Engagement with staff; strengthening leadership

Townhall	Leadership Team (LT)	Management Team (MT)	Monthly reports
All staff, all offices worldwide. Organized at different times so as to cater to different time zones	22 staff, including all Regional Directors	Directors and Managers across the Secretariat (variable composition depending on agenda)	Sent to all staff worldwide and Councillors
1 meeting in 2018 (Americas)	8 meetings in 2018	1 meeting in 2018	3 in 2018

7. Governance support

Warm welcome to our new Treasurer and thanks to Acting Treasurer



Nihal Welikala



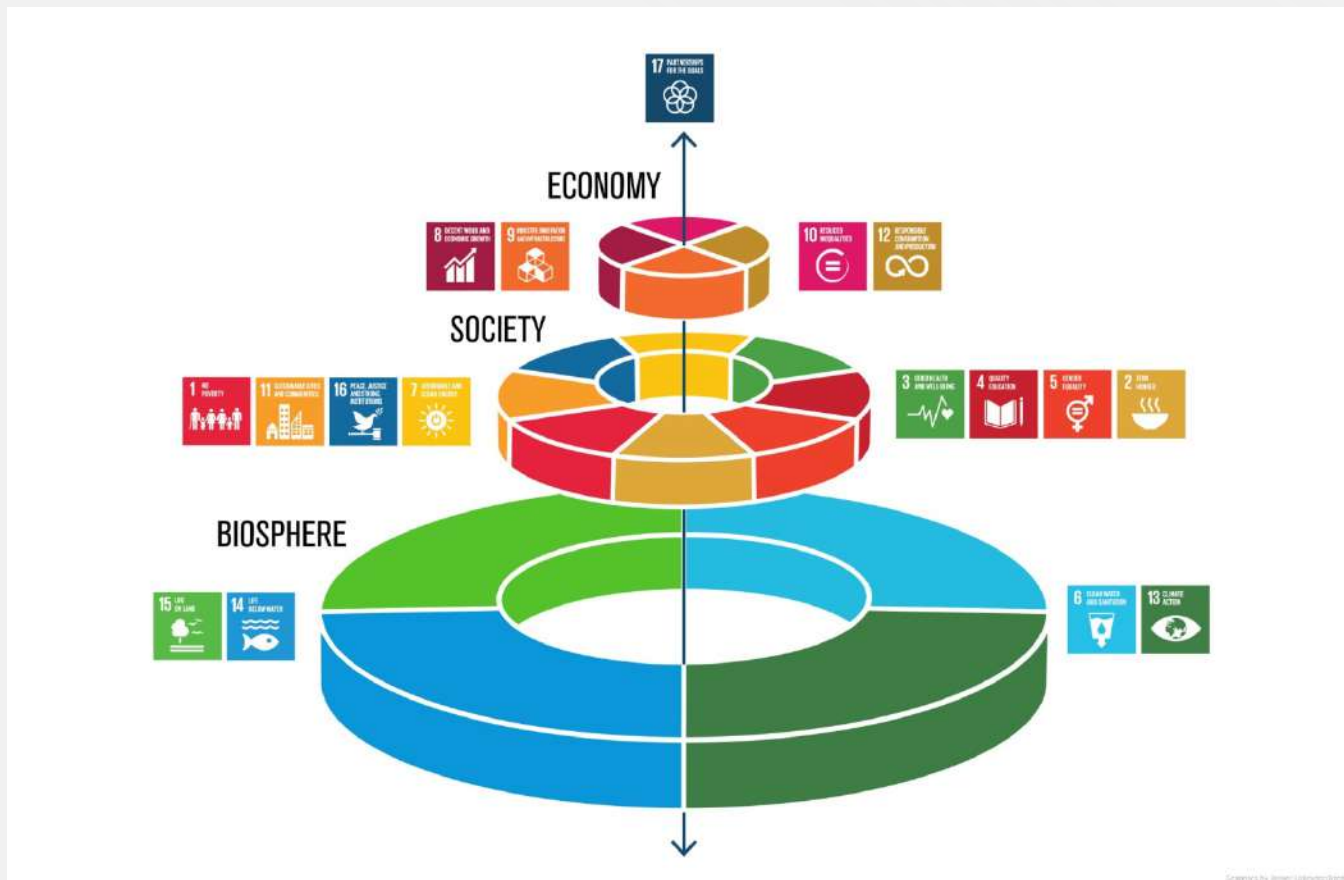
Rick Bates

For example, providing support to External Review of IUCN's governance (GCC agenda item 1.3)

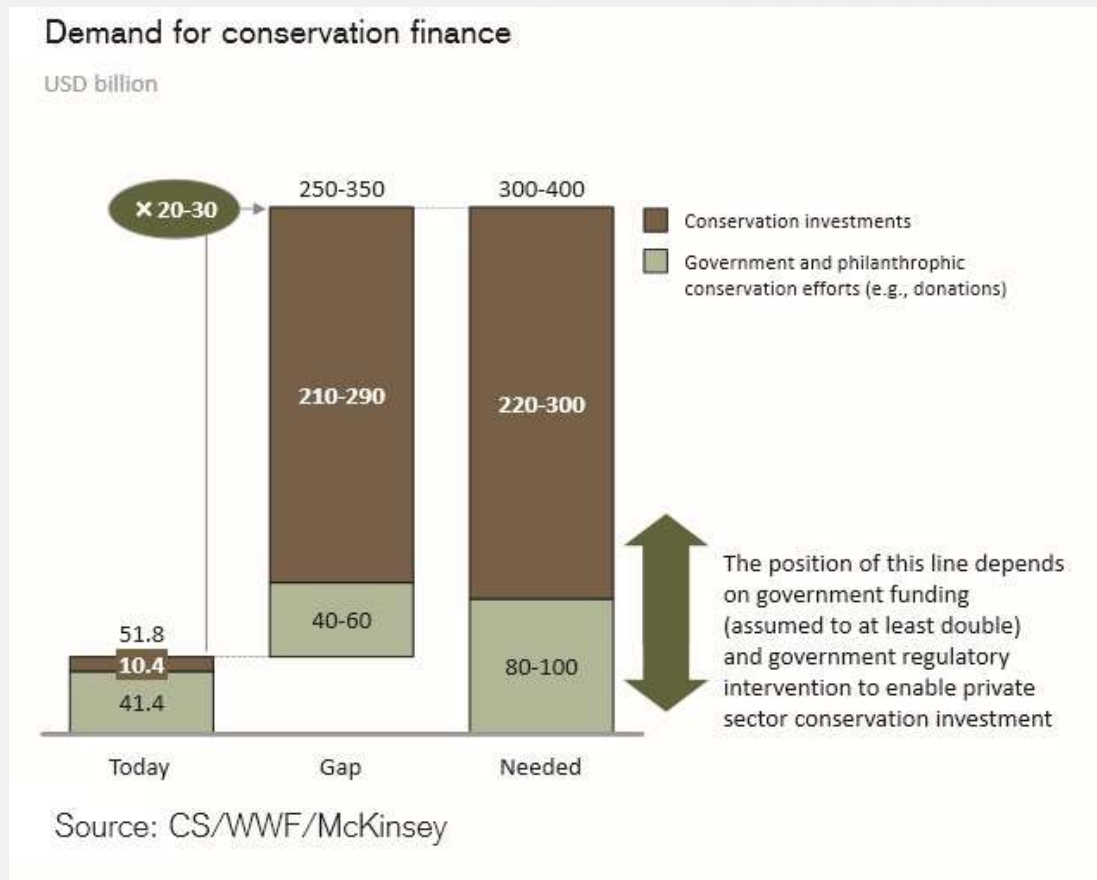


8. Thematic Priorities/New Horizons

Shaping the global agenda: what will the world need from IUCN in 2024?

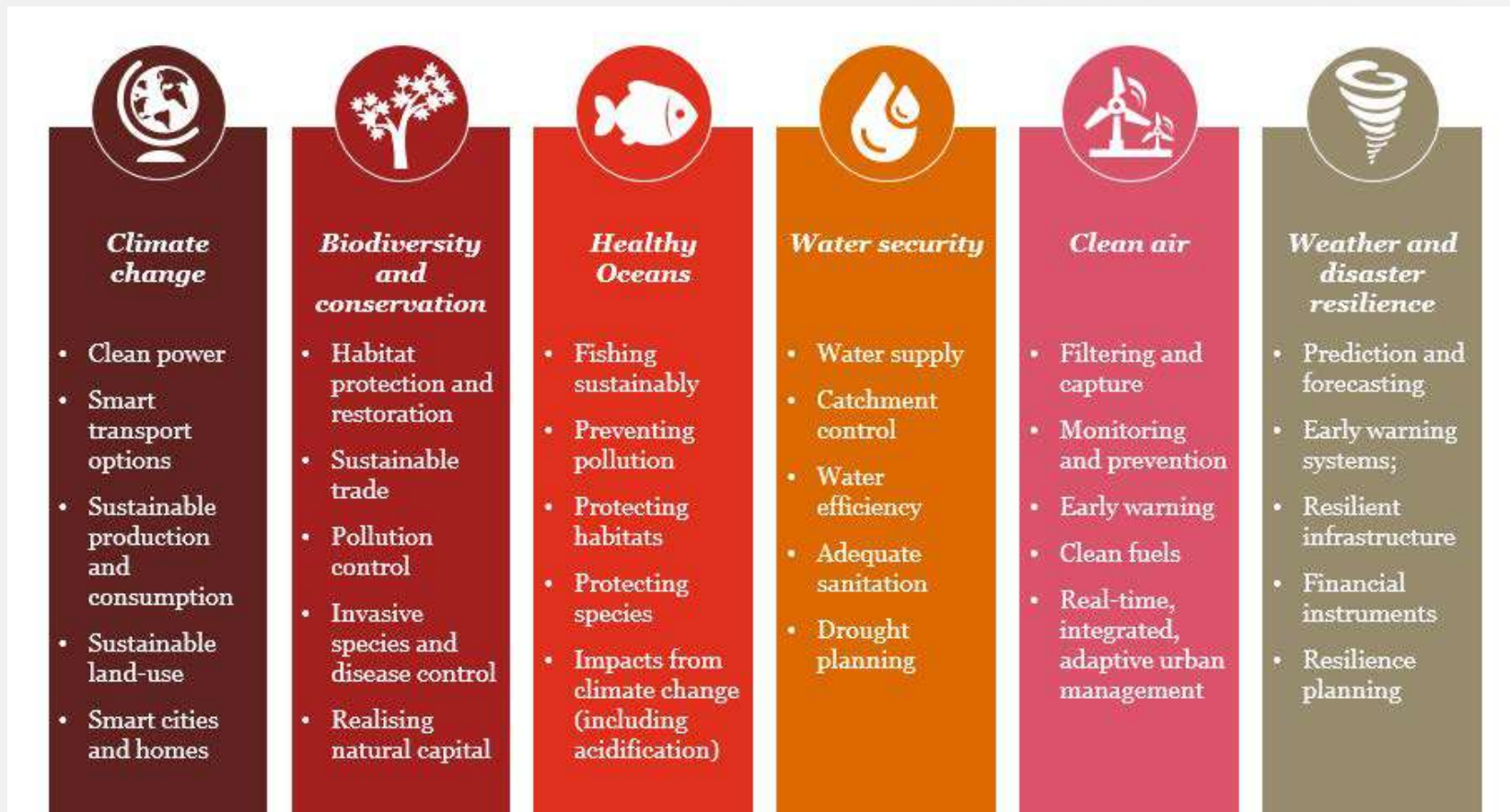


Filling the \$400 billion gap – scaling up conservation finance



Credit Suisse, 2014

Nature in a high tech world – the role of technology in conservation

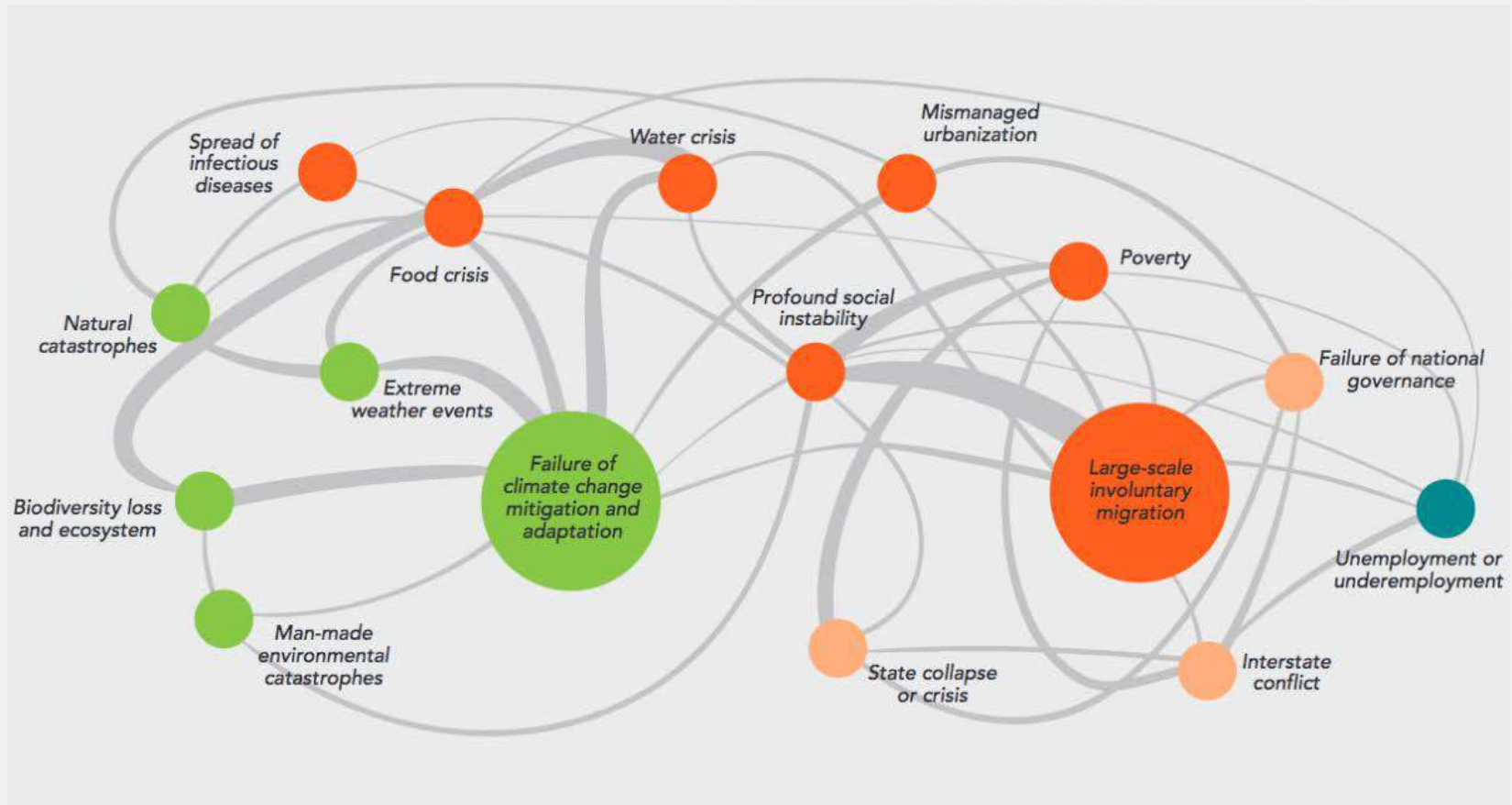



PwC, 2018

Data for conservation



Climate change





We all have to eat – can we ignore food and agriculture?

8. Thematic Priorities/New Horizons

A conceptual photograph of a person's head and shoulders, where the skin is replaced by a dense, vibrant green forest of leaves and branches. The person is wearing a blue and green patterned shirt. The background is a plain, light color.

**The natural health service –
conservation impacts on health and happiness**



www.iucn.org

WCEL 2017 Report to Council and Progress in 2018

Prof. Antonio Herman Benjamin
Chair

Prof. Denise Antolini
Deputy Chair



World Commission
on Environmental Law

Commission Mondiale de
Droit de l'Environnement | Comisión Mundial
de Derecho Ambiental

94th Meeting of IUCN Council
Gland, 1 May 2018

WCEC 2017-2018

- Structure: Membership, Steering Committee and Staff
- Specialist Groups
- WCEC Signature Initiatives
- Global Outreach

WCEL Structure

- 899 Members (as of April 2018); 850 registered in CRM
- One staff/consultant
- Steering Committee: small, highly competent and globally respected



Finances

- Partnerships
- Example: 8th World Water Forum
- Savings for the 2nd IUCN World Environmental Law Congress

2017	
COF Allocation	CHF 220,000
Expenditure	~CHF 117,000
Balance/Rollover	~CHF 103,000
Total funding leveraged In-kind (diverse)	~CHF 240,000
In-kind contributions of Chair, Deputy Chair, SG Chairs, Members and Partners	\$2,172,000
2018 (through April)	
COF Allocation	CHF 220,000
Expenditure	~CHF 26,061
Balance/Rollover	~CHF 193,939
Total funding leveraged In-kind (8th World Water Forum)	~CHF 240,000
In-kind contributions of Chair, Deputy Chair, SGs, Members, GJIE, Partners	\$1,251,600

Specialist Groups

- Limited number of 10: Ethics; Climate Change; Oceans, Coasts & Coral Reefs; Soil, Desertification & Sustainable Agriculture; Water & Wetlands; Compliance & Enforcement; Early Career; Forests; Indigenous Peoples (JT CEESP); Polar Task Force
- Term limits; challenges

WCEL Signature Initiatives

- 8th World Water Forum
- Global Judicial Institute on the Environment
- Global Institute of Prosecutors for the Environment
- Global Pact for the Environment
- Model Forest Act
- WCEL Environmental Law Video Library
- 2nd IUCN World Environmental Law Congress

2017-2020 IUCN Programme

- Programme Area 1: Valuing and conserving Nature
- Programme Area 2: Promoting and supporting effective and equitable governance
- Programme Area 3: Deploying nature-based solutions

8th World Water Forum – Brasília

March 19-21 2018

- Judges & Prosecutors SubProcess:
 - 140+ judges, prosecutors, experts from 60+ countries
- Partners: WWC, UN Environment, OAS, Brazilian Gov
- Brasília Declaration of Judges on Water Justice
- 1st WCEL International Water Justice Moot Court



World Commission on Environmental Law

Commission Mondiale de Droit de l'Environnement | Comisión Mundial de Derecho Ambiental





World Commission on Environmental Law

Commission Mondiale de Droit de l'Environnement | Comisión Mundial de Derecho Ambiental



Brasília Declaration of Judges on the Environment

- Water as a public interest good
- Principle of ecological function of property
- *In dubio pro aqua* Principle



Brasília Declaration of Judges on Water Justice
[10 Principle Declaration]

8th World Water Forum
Brasília (Brazil)
21 March 2018

We, the judges who administer water justice and adjudicate cases regarding the utilization, management and protection of all forms of freshwater resources; equitable access to water and sanitation services; the impact of human activities on water and the environment; and restoration of ecological services and functions,

Acknowledging that availability of freshwater is rapidly becoming a pressing global problem, with global water requirements in 2030 expected to amount to double those in 2005 and to exceed current accessible and reliable supply levels by 40 per cent,

Aware that the impending water crisis, accelerated by the impact of climate change on the hydrological cycle, and on the availability of water resources to satisfy the demands of society and those of the environment, is also a crisis of governance and justice,

Recognizing that damage to water resources and related ecosystems, and deficiencies in water services provision, disproportionately impact vulnerable people and groups, including women, children, the elderly, the disabled, indigenous peoples and minority groups, and the need to mitigate these impacts,

Observing the importance of the hydrological cycle to ecological functioning; the interconnectedness of groundwater and surface water systems; and the importance of approaching water challenges on a watershed level,

Considering the fact that freshwater resources are a vital component of all aquatic and terrestrial ecosystems, and the fact that ecosystems provide a range of services essential to life,

Emphasising the key role of water resources in the maintenance and functioning of a range of critical ecosystems providing essential ecosystem services for the benefit of humanity and all life,

Global Judicial Institute on the Environment

- Background and development
- Selection of the members of the IGC
- Registration and Secretariat
- Global Judicial Portal
- Activities



Global Judicial Institute
on the Environment

Institut Judiciaire Mondial
de l'Environnement

Instituto Judicial Mundial
del Ambiente

Global Judicial Institute on the Environment



Global Institute of Prosecutors for the Environment

- Launched during the 8th WWF
- H.E. Raquel Dodge is leading the global initiative
- Global meeting of Attorneys General



Global Pact for the Environment

- French Initiative
- WCEL involvement
- Meetings
- Perspectives



Model Forest Act

- Understanding the need and purposes
- MoU with UNFF
- New Specialist Group on Forests



2nd IUCN World Environmental Law Congress

- First half of 2020
- Venue
- Theme and Scope: not just law
- Partners
- Regional Preparatory Meetings

WCEL Environmental Law Video Library

- Purposes
- Partnership with the Catholic University of Brasília
- 19 lectures already recorded
- First lecture just released



Global Outreach: Chair's Missions

- January 2017: Mumbai, New Delhi, and Chennai, India
- January 2017: Hanoi, Vietnam
- July 2017: Nairobi, Kenya
- July 2017: Lusaka, Zambia
- September 2017: Nanjing, China
- September 2017: Santiago, Chile
- October 2017: Thimpu, Bhutan
- November 2017: New Delhi, India
- January 2018: Marseille, Nice, and Paris



Other Events and Activities

- 22 March 2017: [Joint submission and oral arguments](#) with the Organization of American States to the Inter-American Court on Human Rights
- 25-26 March 2017: Participation in the [World Environment Congress](#) convened by India's National Green Tribunal in New Delhi
- 11-12 April 2017: Participation at the [International Symposium on Environmental Adjudication in the 21st Century](#). In Auckland
- 18-20 July 2017: Contributions to [The Hawai'i Conservation Conference](#) in Honolulu
- 5-6 September 2017: Keynote talks at the [Law and Environment in Small States Conference](#) in London
- 7-9 September 2017: Members presenting at the [European Society of International Law Annual Conference](#) in Rome
- 21-23 September 2017: Attendance at the [Annual Meeting of the European Union Forum of Judges for the Environment \(EUFJE\)](#) at Oxford



Other Events and Activities

- 21 November 2017: Christina Voigt (Chair, WCEL Climate Change Specialist Group) and WCEL Member Justice Michael Wilson participating in the IUCN Council Climate Change Task Force
- 4-6 December 2017: Representation at UNEA-3 and Antonio Benjamin featured in short film "[Defending our Environmental Right to Pollution-free Planet.](#)" in Nairobi
- 5-9 February 2018: Member participation at conference [Effectivité et éducation judiciaire du droit de l'environnement en Afrique francophone](#) in Yaoundé
- 27-28 February 2018: Member contributions to the 11th meeting of the Task Force on Access to Justice under the Aarhus Convention
- 23 April 2018: Remarks delivered by Deputy Chair Denise Antolini and WCEL Member Kathryn Gwiazdon to the [2018 Interactive Dialogue of the United Nations General Assembly on Harmony with Nature](#)





World Commission
on Environmental Law

Commission Mondiale de
Droit de l'Environnement | Comisión Mundial
de Derecho Ambiental



WCEL ENVIRONMENTAL LAW LECTURES



0:52 / 2:19



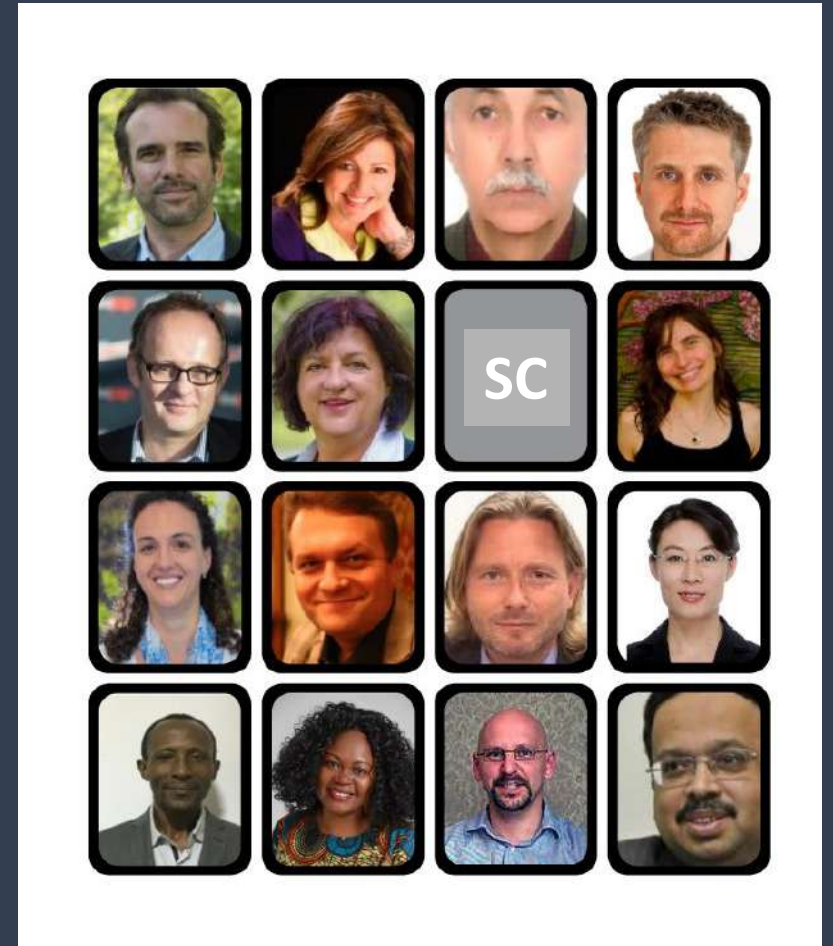


Sean Southey

Chair, Commission on Education and Communication



Steering Committee

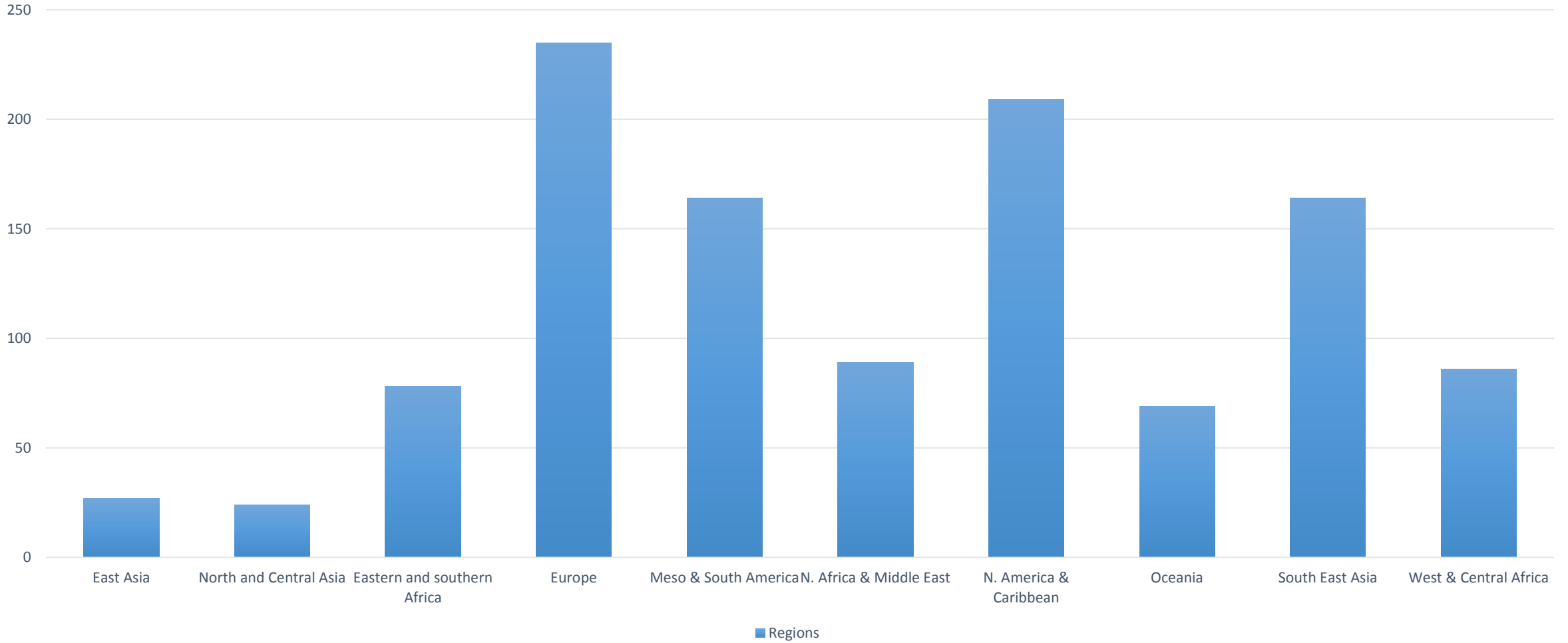




Membership Growth



Members per CEC Regions

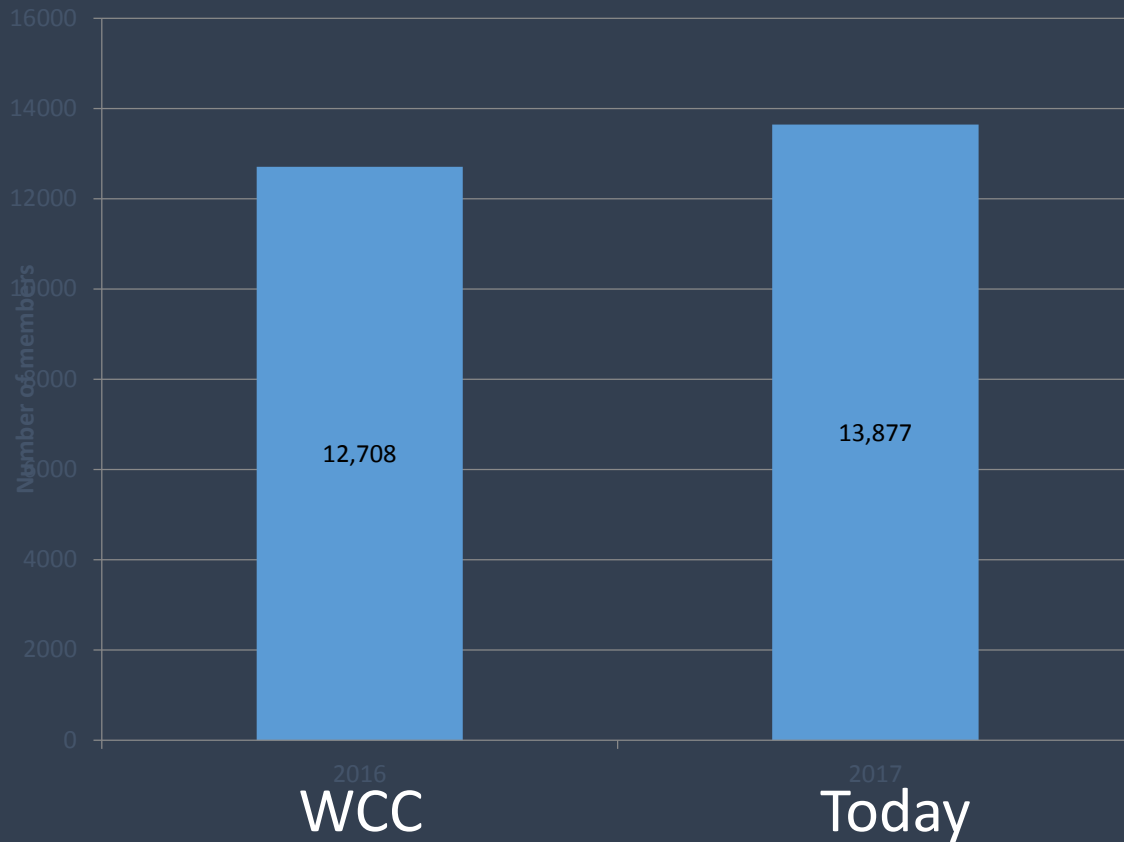




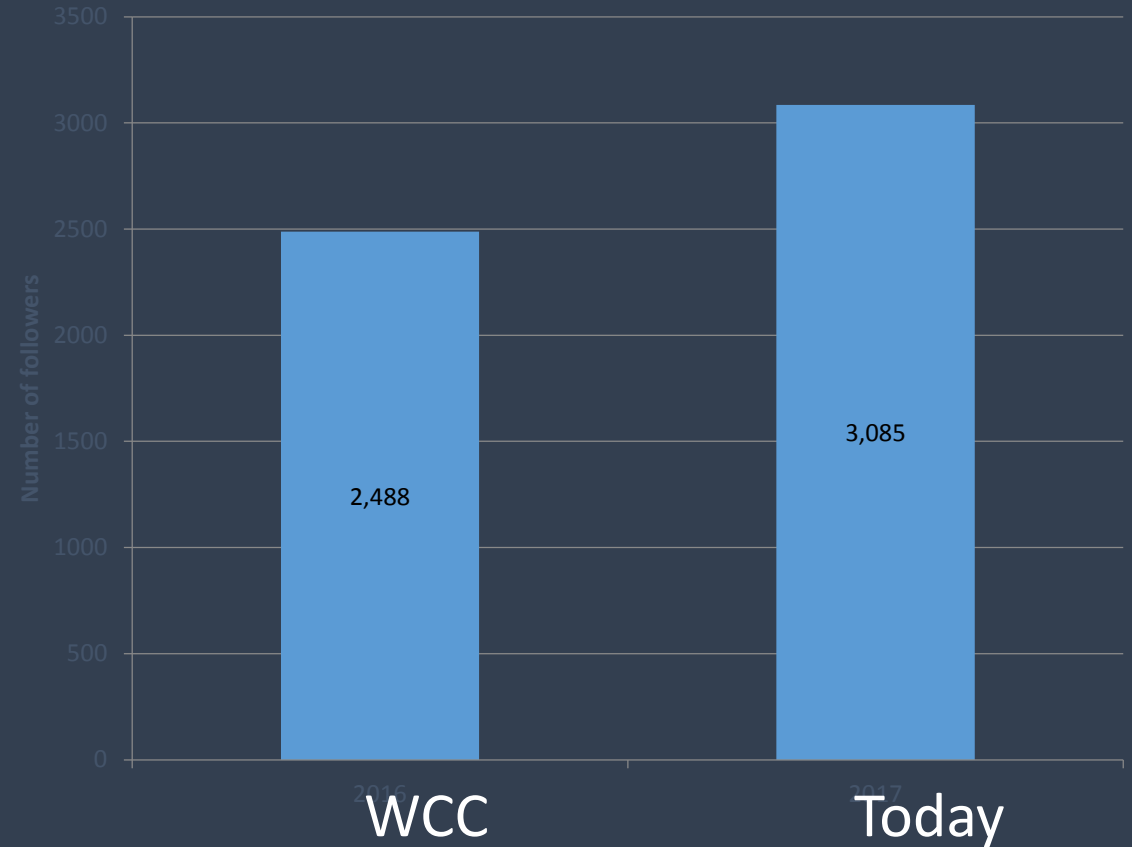
CEC Reach



Facebook



Twitter





2017 COF Budget



Activity	Cost (CHF)
DC Steering Committee Meeting	50,000
IUCN@70 Visual Identity	25,000
Part time Staff	20,000
Travel and Conferences	31,000
Publication and Communications	27,000
Total	153,000



Annual Voluntarism Value (2017)



	Number	Hours/week*each	Hours/week	Days/week	Days/year	CHF/year
Steering Committee	14.00	8.00	112.00	14.00	560.00	280,000.00
Members	600.00	1.00	600.00	75.00	3,000.00	1,500,000.00
Total	614.00	9.00	712.00	89.00	3,560.00	1,780,000.00

Assumptions: 14 CS members; 50% active members; 8 hrs a day; 40 work weeks a year; day rate of CHF500.



IN SUPPORT OF THE UNION
IN PROTECTION OF OUR PLANET
IN REALISING THE SDGs



#NATURE
FOR ALL



@natureforall



@nature.for.all



@natureforall.global

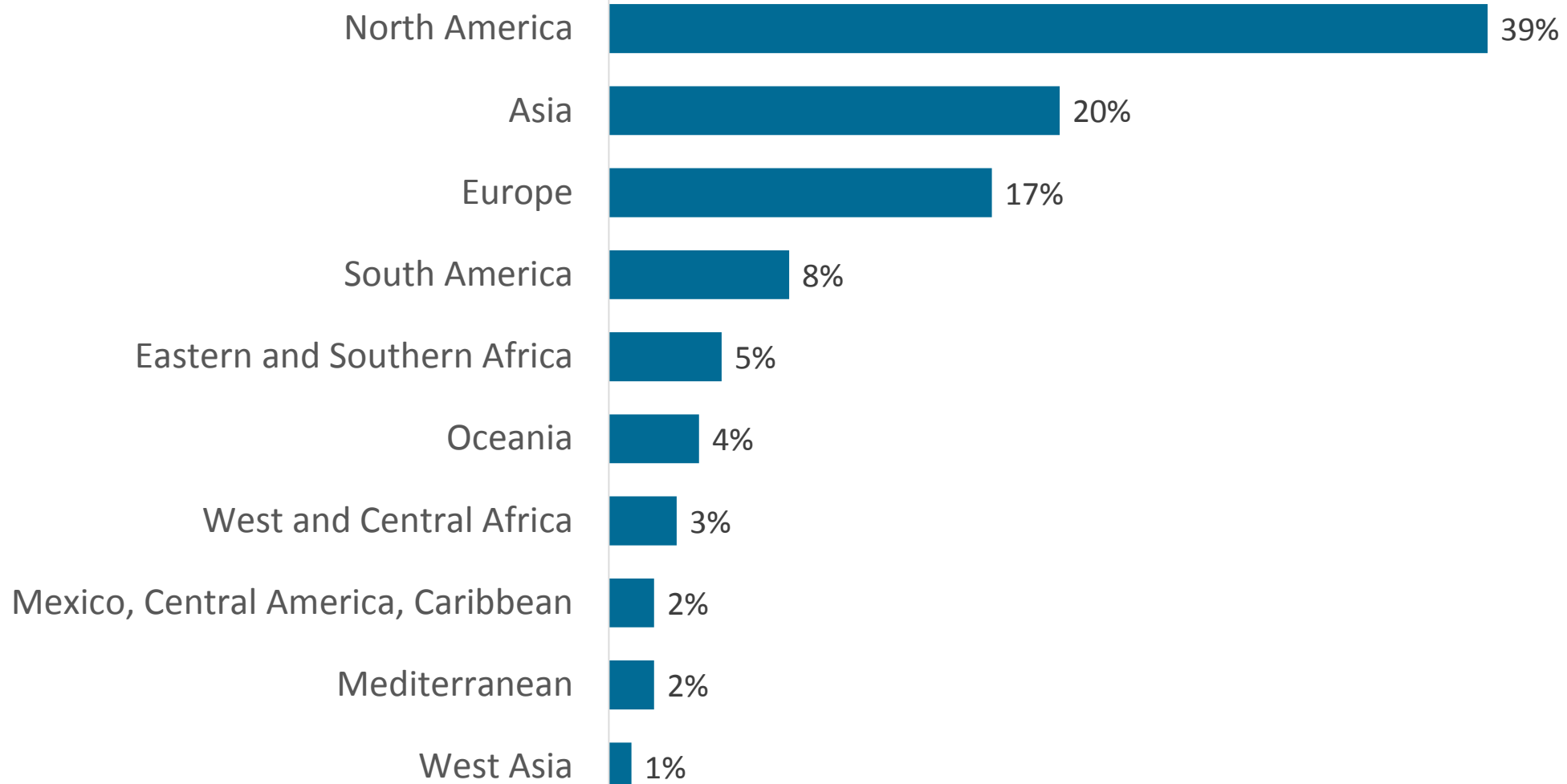
JOIN THE MOVEMENT, BE THE MOVEMENT
SPARK THE CHANGE!

www.natureforall.global



254 Members

3 National Networks (UK, Canada, Netherlands)





Doing lots, with little

- 2 full-time Parks Canada staff, plus 1 contract and .8 student
- In-kind support from Partners and Commissions
- Funding from Parks Canada, CEC, and WCPA



Parks
Canada

Parcs
Canada

Thank you Parks Canada!



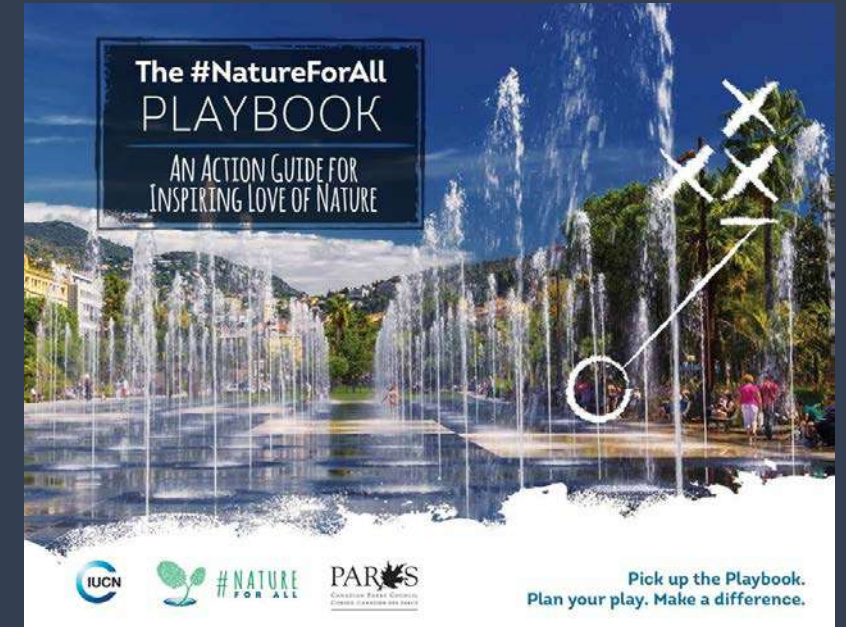
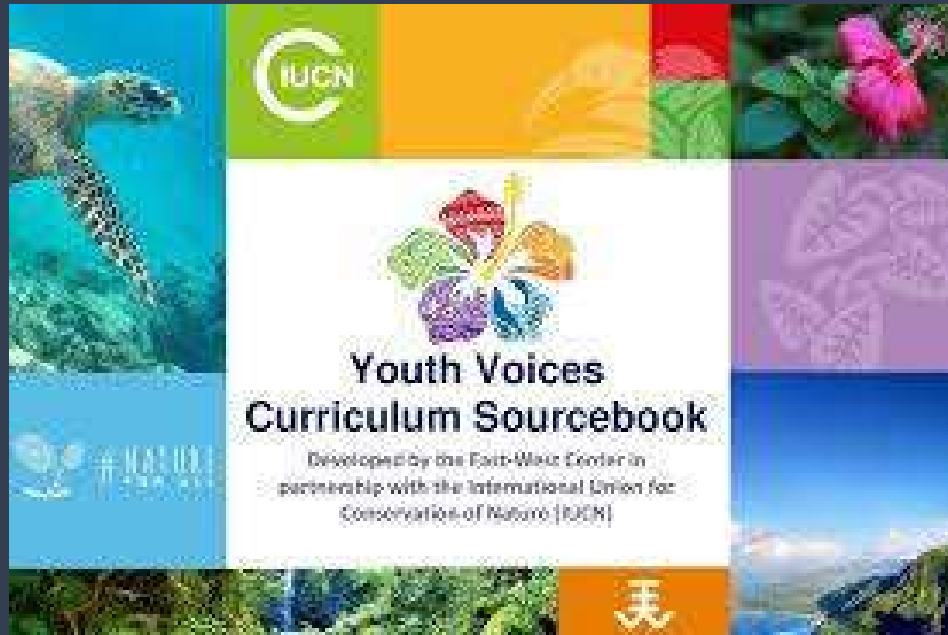
#NatureFor All Materials



- Web site (English, some French)
- Success stories (40)
- Brochure (3 languages)
- Playbook (4 languages)
- “Imagine #NatureForAll” video (22 languages)
- Animated #NatureForAll video (3 languages)
- Wild on Humans viral video
- Comic (3 languages)
- Curriculum Sourcebook (3 languages)
- Newsletter (3000+ on List Serve)
- Key messages, presentations, frequently asked questions (3 languages)
- Logo (3 languages) and brand guidelines
- Social media tool kit
- Twitter, Facebook, Instagram feed (1400+ followers on each)
- Pins, phone loops, T-shirts, hoodies, stickers, pop up banners, posters
- Canadian “prospectus” (2 languages)

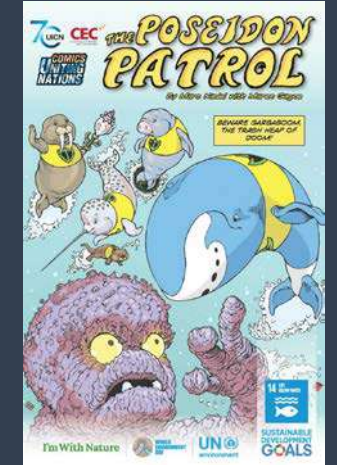
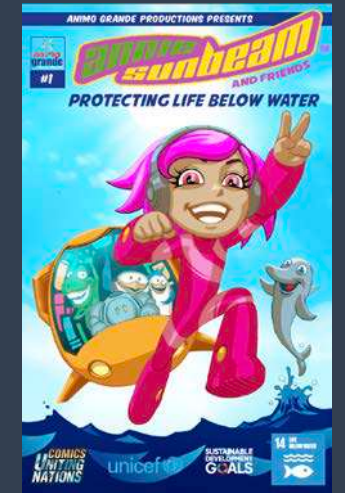
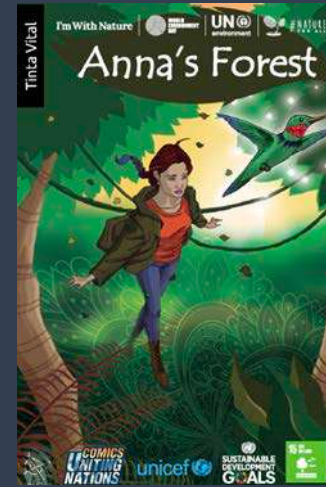
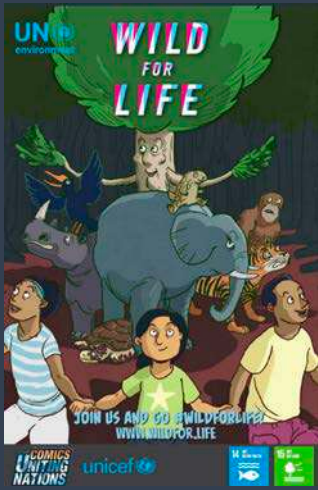


World Environment Day 2017

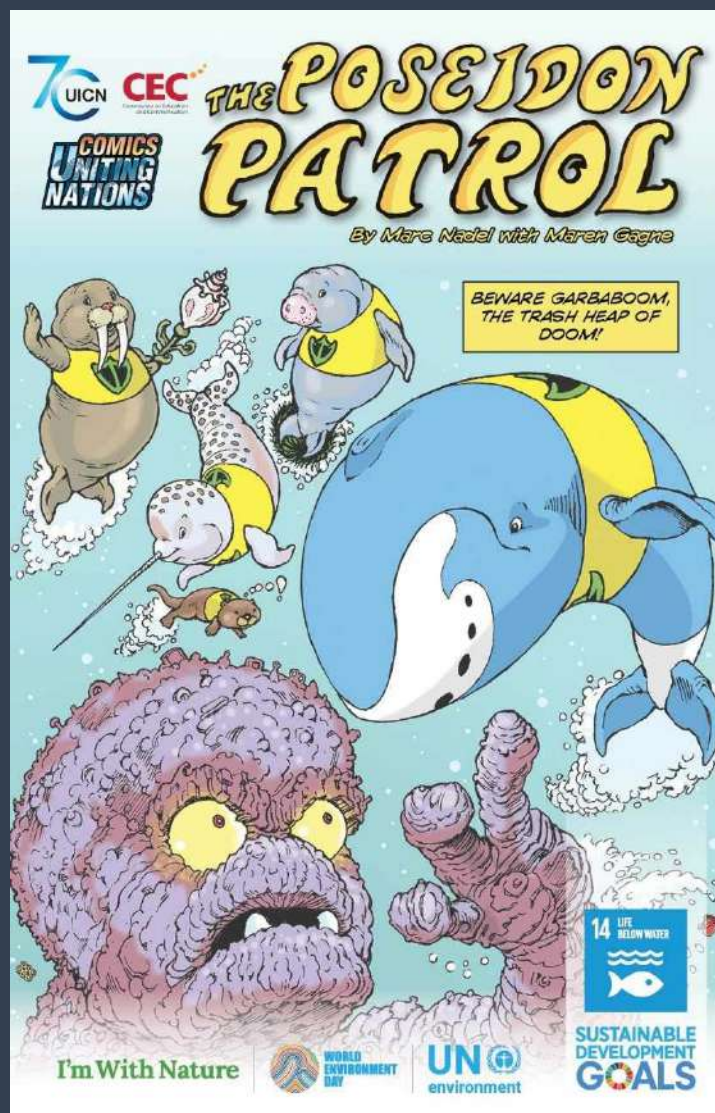




Comics



World Environment Day 2018



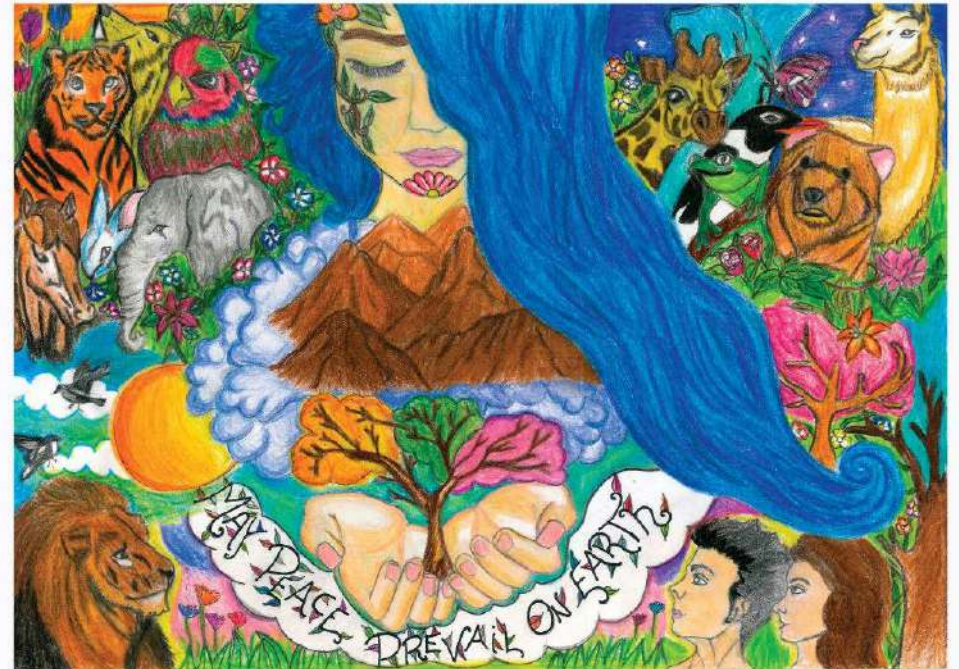


#NatureForAll Partner Activities





Peace Pals #NatureForAll Award



PEACE PALS INTERNATIONAL ART EXHIBITION AND AWARDS

2017 - FINALIST

AGE CATEGORY 14 ~ 16



NICOLE RODRIGUEZ TORREZ

AGE 16

BOLIVIA

May Peace Prevail On Earth
Que la paz prevalezca en la tierra



70th Anniversary





#NATURE
FOR ALL

70 Cheers For 70 Years



Evidence Synthesis



Sample Regional Activities



India



Russia



Europe, North and Central Asia



China – South Africa
Exchange

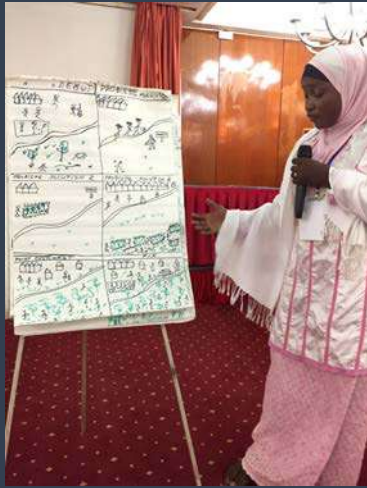


Latin America



China

Sample Regional Activities



Sudan



Canada



FOTO: FONKET AC

Mexico



Sweden



Budapest Water Summit



Morocco



Upcoming Regional Activities



CEESP Halifax Meeting

LA #NatureForAll Meeting

Australia #NatureForAll Partner Meeting

#NatureForAll Storybook

Alpine Strategy

Egypt CBD COP

India SDG Poster Series

WAZA Partnership





3 Awards for Imagine #Nature For All Video



22 Languages



Thank you!



Commission on Environment, Economics and Social Policy

Kristen Walker Painemilla
Chair
Ameyali Ramos Castillo
Deputy Chair



INTERNATIONAL UNION FOR CONSERVATION OF NATURE



Vision

A world where sustainability, social justice and equity are valued in nature conservation and in development.

Mission

CEESP's mission is to contribute to the IUCN Mission by generating and disseminating knowledge, mobilising influence, and promoting actions to harmonise the conservation of nature with the critical social, cultural, environmental, and economic justice concerns of human societies.



INTERNATIONAL UNION FOR CONSERVATION OF NATURE



Commission Structure

Steering Committee Members

- Executive Committee
- Regional Vice-Chairs
- Thematic Group Chairs
- Specialist Group Chairs
- Knowledge Basket Chairs / Flagship Knowledge Products

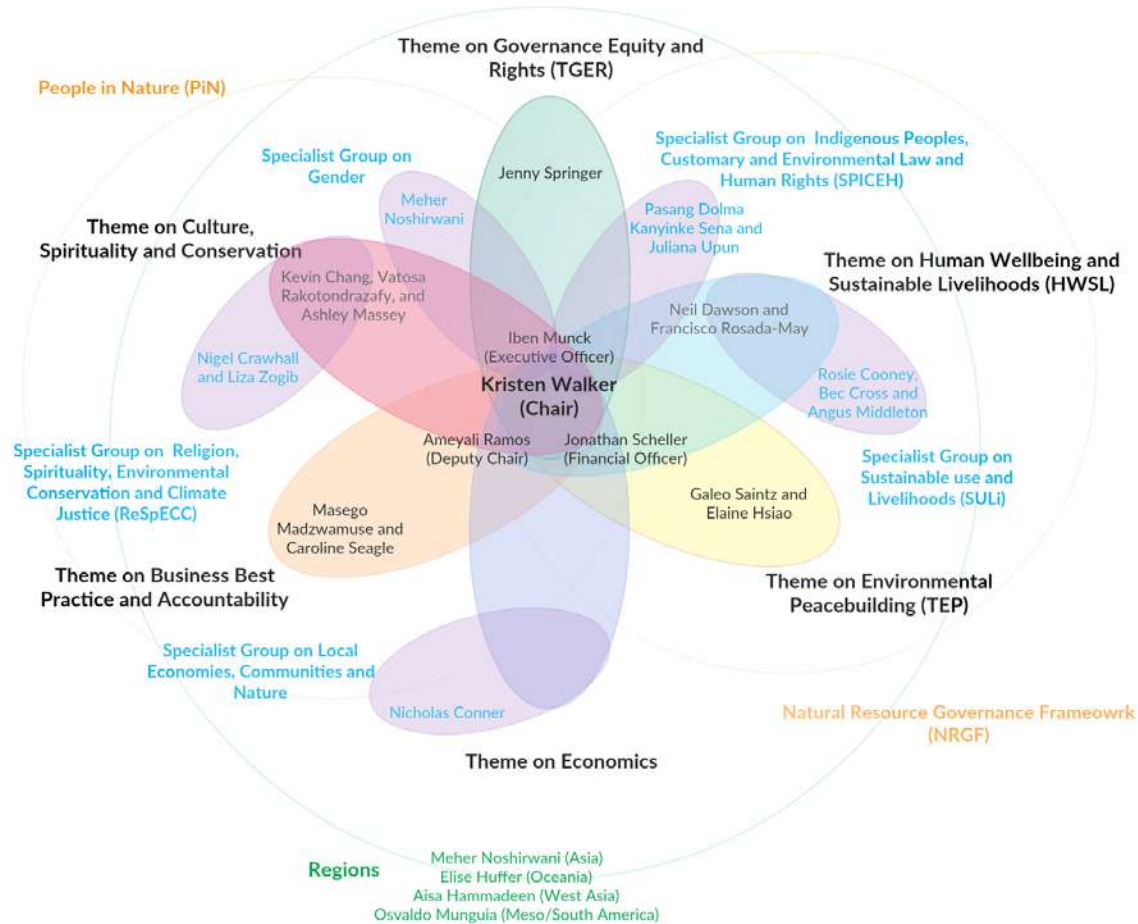
- All roles on the CEESP Steering committee or specialist groups were/are advertised and circulated via CEESP web Networks
- All CEESP Chairs have a TOR and workplan and they are reviewed on an annual basis

Meetings

- Steering Committee meetings are held once a year, to review and take forward the CEESP mandate and programme.
- Quarterly calls are held with Steering Committee
- SC Meetings:
 - January 2017 : Executive Committee, Airlie VA
 - September 2017: Mbale, Uganda
 - May 2018 : Halifax Canada
 - 2019: Republic of Georgia
 - 2020 TBD



IUCN Commission on Environmental, Economic and Social Policy (CEESP) Organizational Chart



Theme on Economics

creately
www.creately.com • Online Diagramming



INTERNATIONAL UNION FOR CONSERVATION OF NATURE



Commission Structure

Themes

1. Theme on Business, Best Practice and Accountability
2. Theme on Culture, Conservation and Spirituality (CCS)
3. Theme on Economics
4. Theme on Environment and Peace
5. Theme on Human Wellbeing and Sustainable Livelihoods (HWSL)
6. Theme on Governance, Equity and Rights (TGER)

Knowledge Baskets

People in Nature (Pin)

Natural Resource Governance Framework (NRGF)



Specialist Groups

1. Specialist Group on Indigenous Peoples Customary and Environmental Law and Human Rights (SPICEH) (WCEL)
2. Specialist Group on Religion, Spirituality, Environmental Conservation and Climate Justice (ReSpECC)
3. Specialist Group on Sustainable Use and Livelihoods (SULi) (SSC)
4. Specialist Group on Gender:
5. Specialist Group on Local Economies, People and Nature



INTERNATIONAL UNION FOR CONSERVATION OF NATURE



One Programme Approach Highlights

Nature Based Solutions

Global Programme on Governance and Rights

- Collaborated in the design and development of the new program with a focus on:
 - Gender
 - Human rights and Conservation
 - Natural Resource Governance Framework
 - Indigenous-led/members strategy
- **Forest Programme**
 - Primary Forest Task Force (Members)
 - RBA Publication (Members)

Biodiversity Conservation Group

Protected Areas and World Heritage

- Resolution 80 IPOs members and ORMACC Office
- Nature-Culture / World Heritage work
- Greenlist (NRGF)

Species

- *People in Nature*

Policy and Programme Group

Science & Knowledge

- People in Nature
- Review of IUCN's work that is relevant to conflict, peace and security.

Policy

- IPBES
- Engagement & Profile of IPOs and Faith-based Organization IN UNFCCC and CBD
- UNPFII
- Exploring policy Agenda with Europe

Member and Commissions

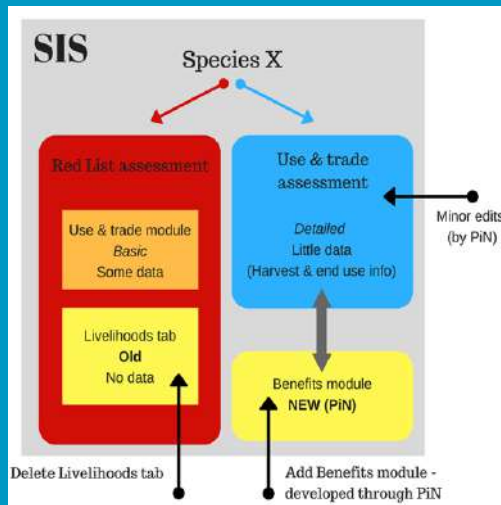
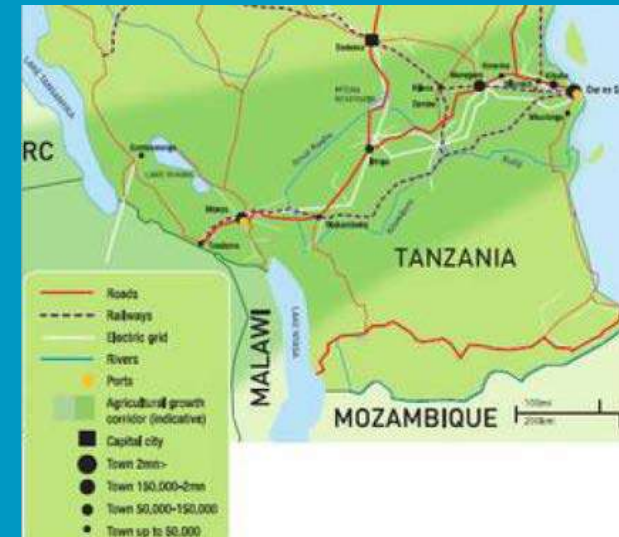
Members

- Working through Regional Vice Chairs
- IPO
- Nature-Culture work with CEM
- Health
- Resolution 080
- Conservation Initiative on Human Rights



Recent activities 2016-17: Joint PiN-NRGF application in SUSTAIN-Africa

- Aims to enhance social and economic inclusion in SAGCOT by strengthening a rights-based approach
- PiN situation analysis documented natural resource use, reliance on water/land and issues affecting communities
- NRGF assessment looked at governance of natural resources and made recommendations for improvements
- PiN and NRGF integrated at level of community meetings



Development of 'benefits assessment'

- Develop a 'benefits' assessment including data on trade, use and livelihoods within the Species Information Service (SIS)
- To answer questions including:
 - What species have known uses in an area? What is the use?
 - How does the species contribute to local livelihoods? What would be the impact of loss of access or local extinction?

Natural Resource Governance Framework (NRGF) Knowledge Basket A New Conservation Standard



Culture, Spirituality and Conservation (CSC)

Identified potential IUCN collaborators for drafting policy on culture in response to WCC 2008 motion:

- ❖ CEM Theme on Cultural Practices and Ecosystem Management (CPEM)
- ❖ People in Nature (PiN) Knowledge Basket
- ❖ WCPA Cultural and Spiritual Values of Protected Areas (CSVPA)
- ❖ WCPA Capacity Development (Biocultural Indicators)
- ❖ WCPA Protected Landscapes/Seascapes
- ❖ CEC #NatureForAll

CEM Theme on Cultural Practices and Ecosystem Management (CPEM) Workshop
University of College Park, Maryland, Nov 2017

19th General Assembly and Scientific Symposium

Delhi, India, Dec 2017

Nature-Culture Journey (following WCC 2016)

Distillery for the Yatra aur Tammanah



Affirmation of the role of indigenous cultures in global conservation efforts

WCC-2016-Res-075



Gusto / liked

GOBERNANZA Global

- Land Rights / Derechos
- Co-Governance / Management / Co-Manejo
- Local knowledge + practices in conservation

Conocimiento y Práctica Local en Conservación

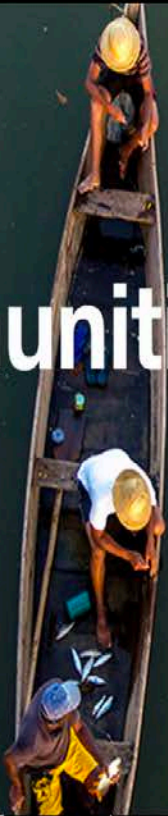


We have 30 minutes left to discuss on 15-wrap up



INTERNATIONAL UNION FOR CONSERVATION OF NATURE





International Conference

Communities, Conservation & Livelihoods

May 28th-30th, 2018

Halifax NS



Community Conservation
Research Network



- [ABOUT](#)
- [KEYNOTE SPEAKERS](#)
- [SCHEDULE](#)
- [REGISTRATION](#)
- [ACCOMMODATION](#)
- [LOCATION](#)
- [CONTACT US](#)

Commission Communications

Commission on Environmental, Economic & Social Policy

MEMBERS NEWSLETTER

CEEESP generates and disseminates knowledge, mobilizes influence, and promotes actions to harmonize the conservation of nature with the critical social, cultural, environmental, and economic justice concerns of human societies.

Note from the Chair of CEEESP
 Note de la Présidente de la CEEESP
 Mensaje de la Presidente de la CPAES

Note from the Chair of CEEESP Note de la Présidente de la CEEESP Mensaje de la Presidente de la CPAES



English

As this is the first newsletter of the Commission since the World Conservation Congress in Hawaii, I want to set the stage a bit for our work over the next four years, and invite input from you as members!

CEEESP is a unique network of approximately 1,500 volunteers representing disciplines from biology and anthropology, economics and law, to culture and indigenous peoples - among many others. Our work represents the crossroads of conservation and development. It is important to recognize that since its inception, CEEESP has been the conscience of IUCN - often questioning how we do conservation, looking at rights, accountability, ethics, economics and more. CEEESP's voice was not always the most welcomed in conservation, but over the years, the commission has worked hard to improve our conservation community and conversation efforts overall.

CEEESP did this by creating spaces where multiple voices can be heard, by addressing issues of rights, gender, livelihoods and by articulating and validating the importance of social science in conservation.

IUCN Indigenous Peoples, Customary & Environmental Law & Human Rights

Hi, Kristin, Write something here...

An indigenous-led strategy for conservation in IUCN

IUCN Indigenous Peoples Member Organisation representative Yeshing Juliana Uoün Yos delivered the following statement to the Seventeenth Session

Commission on Environmental, Economic and Social Policy

CEEESP generates and disseminates knowledge, mobilizes influence, and promotes actions to harmonize the conservation of nature with the critical social, cultural, environmental, and economic justice concerns of human societies.

Home About CEEESP Our work Regions Resources News Contact Join CEEESP

News

Where tropical forest governance meets the 'Beast from the East'

A blog by Dr. Emmanuel O. Nussari, international scholar and editor of a new book on responsive forest governance - a look at how forest governance has global implications for regulating climate and more.

Publications

Background paper for livelihoods module workshop

Davidson-Hurt, Ian J. (Ian Johnson), Deutsch, Nathan, Meyer, Selina S., Olson, Natilie

Language: En

Download this publication

Full library record

IUCN CEEESP Commission on Environmental, Economic and Social Policy

Hi, Kristin, Write something here...

An indigenous-led strategy for conservation in IUCN

IUCN Indigenous Peoples Member Organisation representative Yeshing Juliana Uoün Yos delivered the following statement to the Seventeenth Session



Challenges



INTERNATIONAL UNION FOR CONSERVATION OF NATURE



Commission Finances

Expense Type	2017 CEESP Budget	2017 CEESP Expense	Balance			
Consultancy & Prof. Services	\$ 76,181.25	\$ 53,289.56	\$ 22,891.69			
Travel, Hospitality & Conferences	\$ 91,216.98	\$ 106,476.80	\$ (15,259.81)			
Office & General Admin. costs	\$ 5,522.80	\$ 7,123.38	\$ (1,600.58)			
Communication & Publication costs	\$ 17,439.65	\$ 1,953.93	\$ 15,485.71			
Internal Expenditure	\$ 10,018.98	\$ 13,320.98	\$ (3,302.00)			
Total in USD:	\$ 200,379.66	\$ 182,164.65	\$ 18,215.01			

CEESP Areas of Engagement	2016 CEESP Expenses	2017 CEESP Expenses	2018 Expenses	CEESP Expenses to Date	Match To Date
Theme on Culture			10,598	10,598	4,500
Theme on Human Well-being (IPBES, SCB, etc)			13,781	13,781	1,000
Knowledge Baskets (NRGF, PiN, etc)	2,000.00	33,600		35,600	152,500
Theme on Environment and Peace (Human Health, CCRN)	5,250.00	20,000	10,000	35,250	250,000
Regional Engagement (Asia Regional Committee)		500		500	4,000
SPICEH: Indigenous Protected Areas		8,596	22,900	31,496	20,000
Engagement Across Commissions (SSC/CEM SC, WCEL, etc)	1,000.00	3,000		4,000	3,300
Policy Engagement (CBD, UNFCCC, Chair Travel)	12,161.00	6,101	3,500	21,762	8,000
CEESP Steering Committee	5,519.00	30,214	50,000	85,733	15,000
Commission Support	3,885.00	38,237	6,600	48,722	128,251
In-kind Contribution					10,773,465
Translation Services & Consultants		8,554	2,000	10,554	5,000
Other Direct Costs	1,971.00	8,983		10,954	500
	\$ 31,786.00	\$ 182,164	\$ 95,000	\$ 308,950	\$ 11,365,516



Thank You



INTERNATIONAL UNION FOR CONSERVATION OF NATURE

Commission on Ecosystem Management



Angela Andrade

Chair

94th Council Meeting

2018





CEM Mission

To provide expert guidance on **integrated approaches** to the management of natural and modified ecosystems to promote effective biodiversity conservation and sustainable development.

CEM Objectives

To promote the adoption of, and provide guidance for, **ecosystem-based approaches** to the management of landscapes and seascapes; provide authoritative guidance and support for ecosystem-based management; and promote **resilient socio-ecological systems** to address global changes.

CEM Structure

5 Priority Areas



THEMATIC GROUPS

- Nature-based Solutions (NBS)
- Ecosystem Resilience
- Ecosystem-based Adaptation and Mitigation (EbA)
- Eco-Disaster Risk Reduction
- Ecosystem Restoration
- Ecosystem Services
- Red List of Ecosystems (RLE)
- Sustainable Use of Biodiversity and EM (SUME)
- Ecosystems and Invasive Species
- Business and Ecosystem Management
- Biosphere Reserves
- Ecosystem Governance
- Cultural Practices and Ecosystem Management

SPECIALIST GROUPS

- Agroecosystems
- Arctic ecosystems
- Coastal and Marine ecosystems
- Deep Sea and Mining
- Dryland ecosystems
- Forest Ecosystems
- Island ecosystems
- Mediterranean ecosystems
- Mountain ecosystems
- Oasis and Deserts
- Peatlands
- Holarctic Steppes
- Urban Ecosystems
- Wetlands

TASK FORCES

- Systemic Pesticides
- EbAquaculture
- Fisheries Expert Group
- Re-wilding
- Synthetic Biology & E.

Task Forces TBD:

- Human Health and EM
- Emergent Pollutants

Young Professionals Network

IUCN Programme & CEM Structure



Steering Committee



Angela Andrade
Chair



Madhav Karki
Deputy Chair
Vice Chair
Asia



Liette Vasseur
Vice Chair
N. America



Bernal Herrera
Vice Chair
Latin America



Birguy Lamizana
Vice Chair
Africa



Kelvin Passfield
Vice Chair
Oceania



Jonathan Hughes
Vice Chair
Europe

- White Oak, FL- USA. (Jan. 2017) Strategic Planning meeting.
- Cartagena, Colombia. (Aug. 2017) coordinating with SSC
 - Pokhara, Nepal. (Feb.-Mar. 2018)

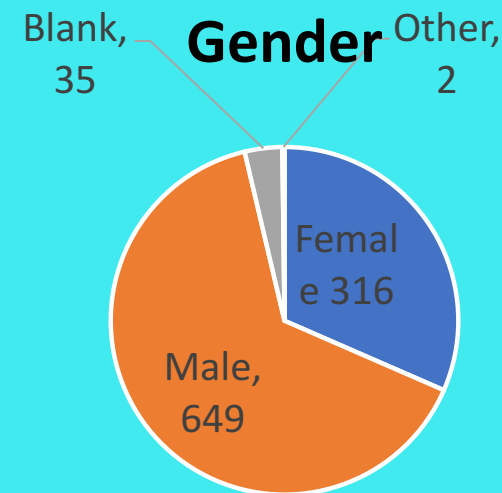
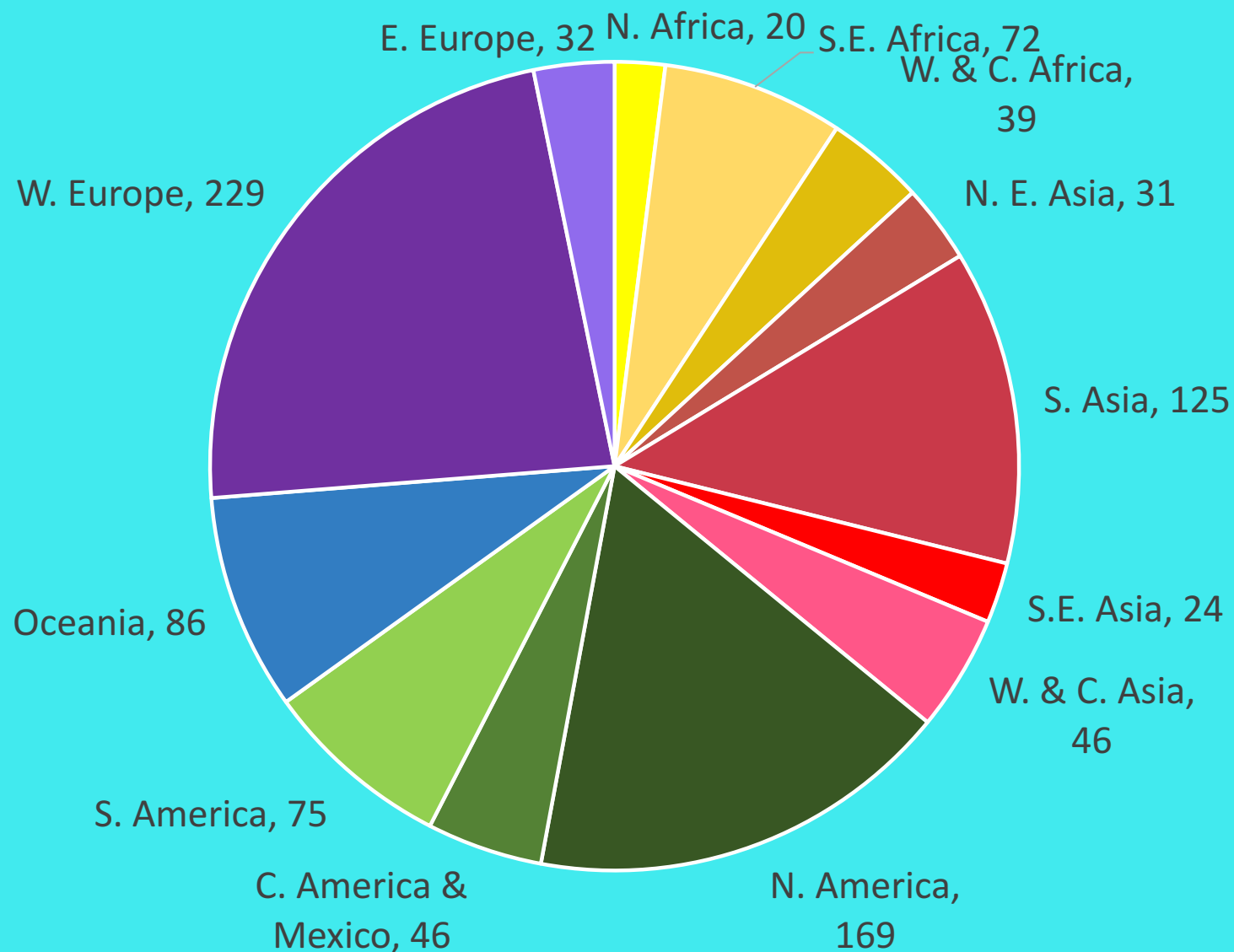


Stephen R. Edwards
Advisor to the Chair





CEM Regional Membership Distribution



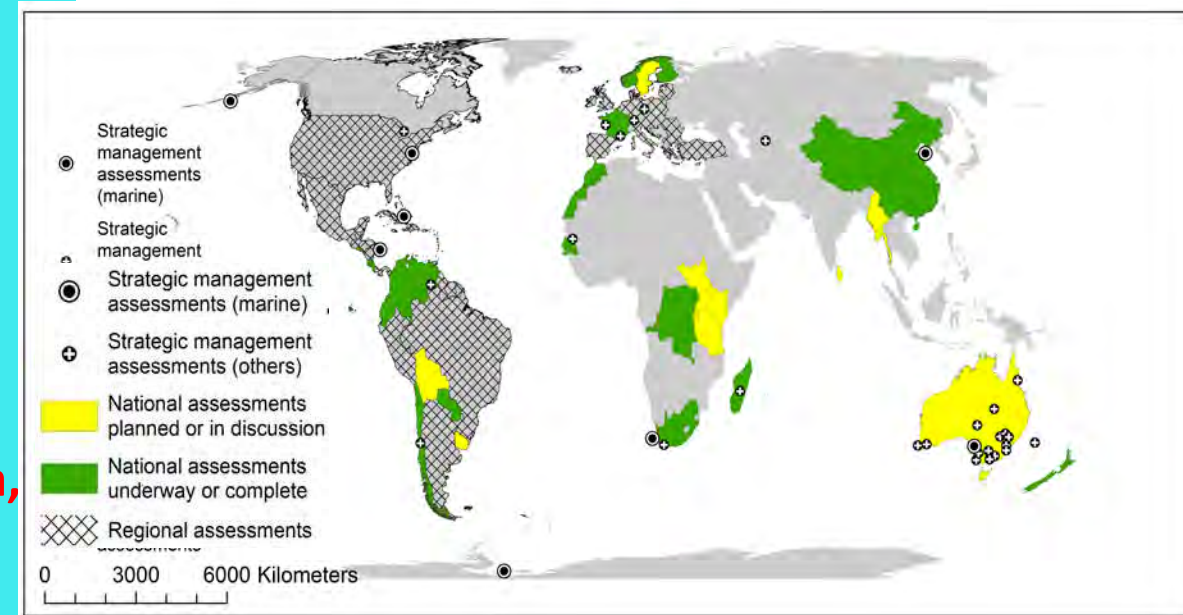
TG with most members:

SUME	418
E. Services	321
Ec.Restoration	306
EbA	272
Ec Resilience	190

RLE– 2017

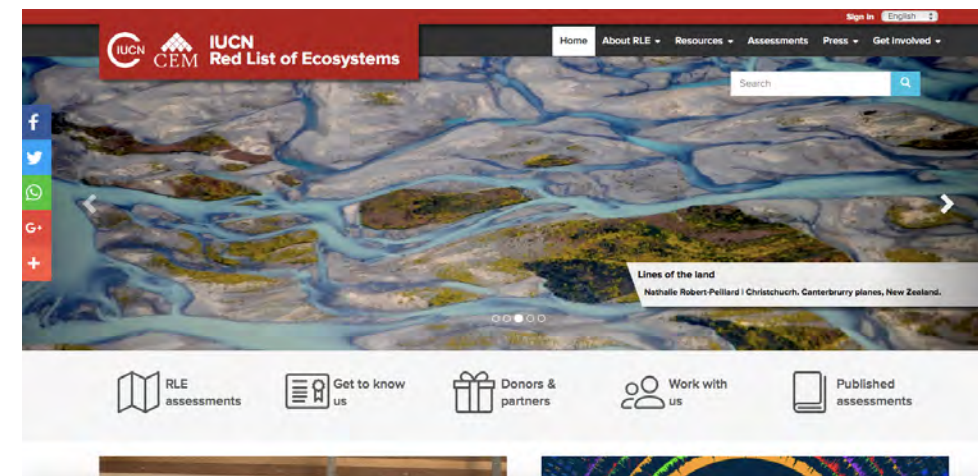
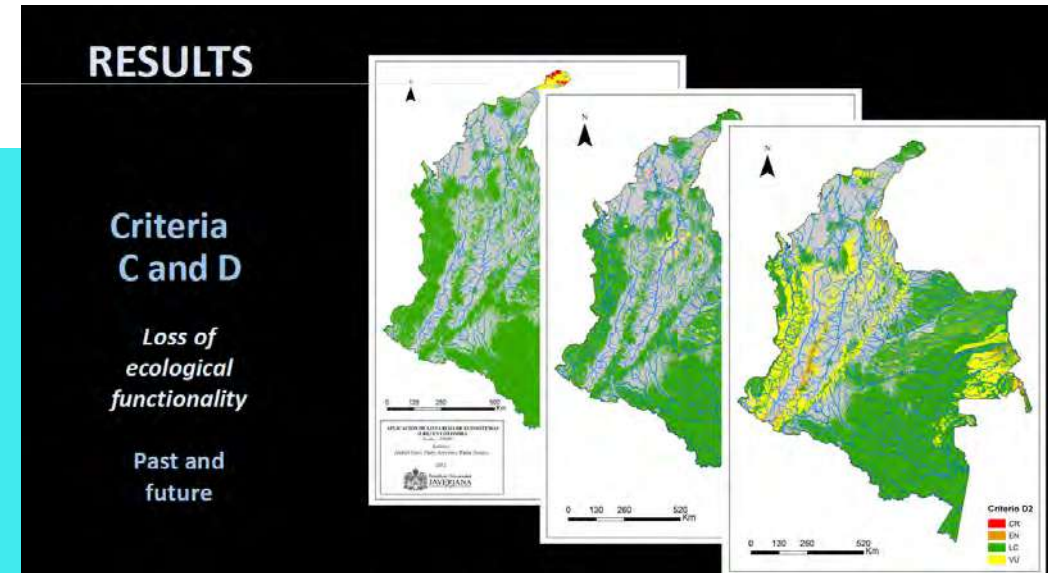
Activity Highlights:

- **Finalized** national assessments: **Chile, Colombia, South Africa, Australia, Norway and Finland.**
- **Ongoing** national assessments: **China, Lebanon and Myanmar.**
- **Applications** for policy design: 2 marine ecosystems.
- **Priority** areas for **Restoration and Conservation**: **Colombia, Tunisia.**
- **Training/ Dissemination workshops**: Gland, CDB-WHO (Helsinki), SBSTTA (Montreal), Global ecosystem typology (London), ICCB(Cartagena), Ecosystem Descriptions (Antananarivo), Joint RLTS/RLE Red List training (Abu Dhabi) . Webinar: (Provita).
- Redlistr: open-source R statistical package.
- Remap: online remote sensing application, free and publicly available online



Impacts:

- RLE website www.iucnrle.org: **93,000** visits from **198** countries.
- **7 scientific publications** by RLE members finalized and accepted.
- Information from **37 RLE assessments**:
 - * **1837** ecosystem types.
 - * **1231** ecosystem types data, converted into xml files, and added additional assessment information.
- **Global Ecosystem Typology**: preliminary review and compilation of global spatial data sets. A web-based inventory and a brief report on outcomes.
- **Facebook** (IUCN Red List of Ecosystems): **21,480 followers**;
Twitter (@redlisteco): **5,431 followers**;
Instagram(@redlist_of_ecosystems): **1,729 followers**.



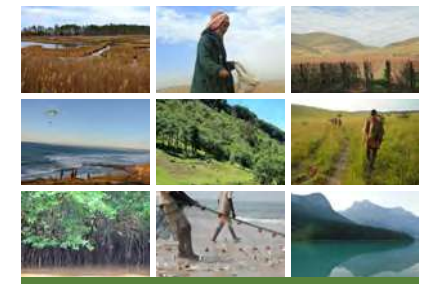
Activity Highlights:

- WDC workshop: **operational framework** in relation to principles adopted in Hawaii.
- **Scientific papers** (drafts): Going Beyond the Principles for Implementing NbS; NbS in Practice, Assessing Case Studies.
- Workshop on the link between NbS, nature conservation and ecosystem services, at the Global ESP Conference, in China.
- Consultancy: **SDGs and comparative approaches**, advancing in scientific basis.



Nature-based Solutions
to address global societal
challenges

Editors: E Cohen-Shacham, G Walters, C Janzen,
S Maginnis



Ecosystem based Adaptation and Mitigation & Eco-DRR

EbA

Activity Highlights:

- **10 workshops:** during UNFCCC SBSTA44 & COP23.
- Support in CC negotiations for Adaptation related themes.
- **Promotion of EbA work through Friends of EbA** , currently with more than **50** organizations. * participation in FEBA process and meetings.



***FEBA** aims at enhancing capacity building through knowledge sharing

Eco-DRR

Activity Highlights:

- Events at ZEF (COP23 in Bonn, Nov.): Biodiversity and ecosystems in climate change; EbA Planning and Implementation / EbA Standards, Criteria and Linkages
- **MOOC** “Disasters and Ecosystems: Resilience in a Changing Climate”: **3.880 participants**
- Contributions to revision of EbA and Eco-DRR guidelines. CBD, 2018.



Ecological Restoration & Business and Ecosystem Management

Ecological Restoration

- **Forum on Biodiversity and Global Forest Restoration** SER Congress: Connected leaders in science, practice, and policy of forest restoration to **improve biodiversity outcomes while delivering essential ecosystem services.**
 - Global Action Plan
 - Social Network Analysis of prospective contributors
 - Formalized CEM-SER Joint Working Group to facilitate and monitor implementation of the Action Plan.
- Contributions to special issue of **“Forests”**: **10 articles** on improving biodiversity outcomes from FLR.



Business and EM

- **Global Landscape Forum** (Bonn, Dec 2017.)
- World Conference on Restoration of the **SER** in Brazil.
- **UNCCD, COP13**
- **MOOC**: Landscape Restoration for Sustainable Development: A Business Approach: 1110 active learners, from 1727.





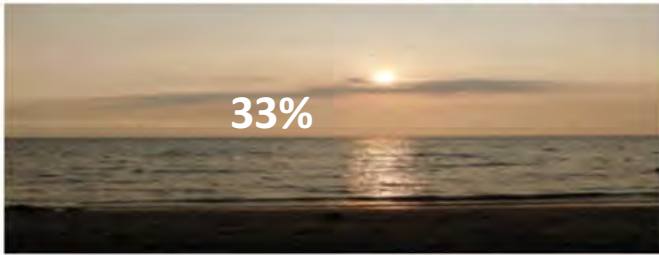
CEM Newsletters



ECOSYSTEM INSIDER

The Ecosystem Insider brings you news from the Commission on Ecosystem Management.

September 2017- Edition 3



Dear CEM member,

Follow us for more news and updates

We are pleased to bring you the Third issue of the IUCN Commission on Ecosystem Management (CEM) Newsletter for 2017.



CEM HIGHLIGHT



Steering Committee meeting in Cartagena

Our 45th Steering Committee took place from the 31st July to August 4th in Cartagena, Colombia. We advanced in the discussions about Strategic Planning of the Commission, its organizational development and fund raising, the role of innovation in ecosystem management, and enhancing business engagement.

Communications

TG- Newsletters



BIOSPHERE RESERVES

The team of the Thematic Group on Biosphere Reserves brings you recent news

March 2018 – Edition 1



AGROECOSYSTEMS

A Quarterly Newsletter from IUCN-CEM Agroecosystems Specialist Group

January-March 2017
Vol (01) Issue (01)

Mountain Ecosystem News

Newsletter of the Mountain Ecosystems thematic group



Editor: Omer Aijazi

Volume 4, July 2017

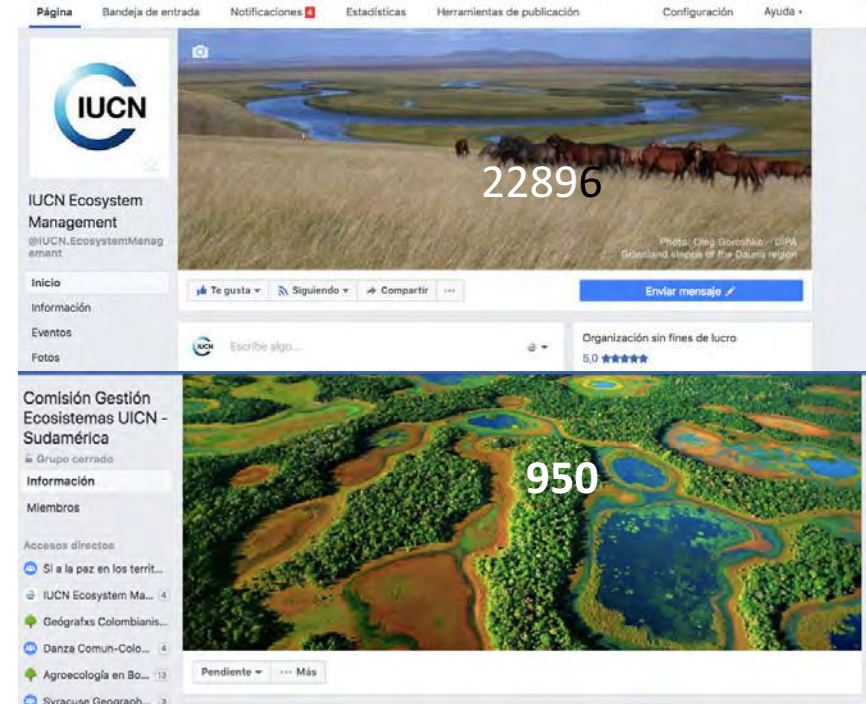
Welcome to the Mountain Ecosystem Newsletter

This is the newsletter of the Mountain Ecosystems Specialist Group and the first in this intercessional period (2017-2020). This short publication attempts to highlight the diversity of our members and the

with a focus on the inclusion of women, youth and indigenous peoples

Over the next few months, I will be developing

Facebook Pages





Financial Report

Expenditure	Example activities	Expenses	Cont-in kind	Cofinance/leverage
Chair & D. Chair	Travel Costs/ COP/ CEM events/	18,000		
Local staff support	Chair's assistant, administrative costs	25,000		
Steering C.	Travel & venue costs	65,000	32,000	
Communications	Open access fee, newsletter translations	5,000		
Contributions to Programme	"Support a global IUCN RLE"	15,000	600,000	850,000 (ARCpending) 400,000 (MAVAIII)
	NbS: consultancy, operational framework workshop	26,000		503,000 (pending)
	FLR & Biodiversity initiative	9,000	300,000	30,000
CEM hosted events /Seed funds CEM	Cultivating Landscape Resilience in S. E. Asia-China Intl Marine PA Congress, IMPAC 4-Chile S. Asian Workshop on EM, NbS & SDGs, India Regional w/shop RLE, Costa Rica Resilience and Systems Thinking-Cartagena Cultural Practices w/shop -U. Maryland.US Holarctic steppes Encyclopedia -W & C Asia	46,000		
CEM members	Case studies on Urban & Rural linkages - Canada Water Policy w/shop, IUCN Gland CEM W & C Africa action plan 2017-2020 SUME-Lima /UNFCCC, COP 23. Bonn.		32,270	
	Contributions of CEM members.		7,100,000	
Total- CHF		209,000	8.032,000	1783000

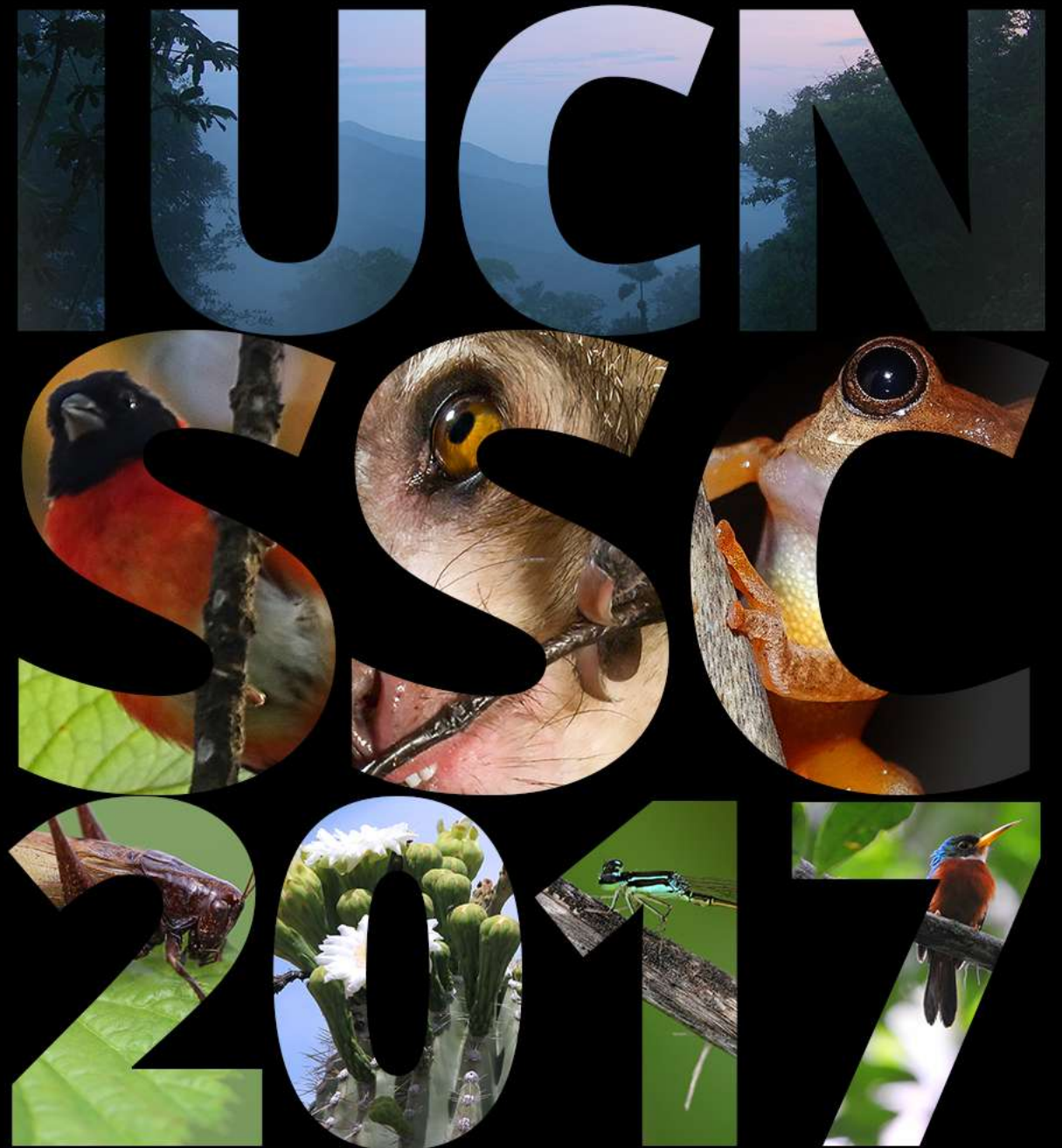
Muchas Gracias





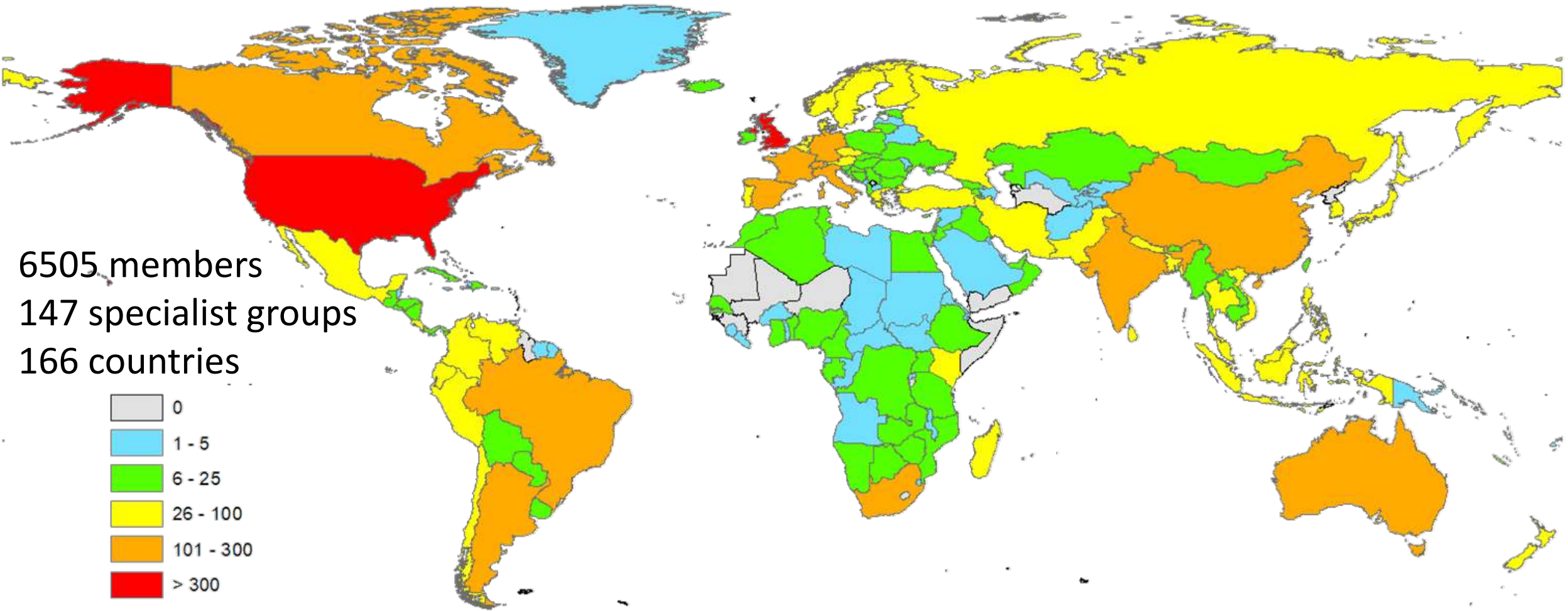
Jon Paul Rodríguez
SSC Chair Report

94th Meeting of the IUCN Council
Gland, 29 April – 2 May 2018





SSC membership 2018



6505 members
147 specialist groups
166 countries



Theory of Change for SSC

Jennifer Christelow, Imperial College London, 2016



Is the SSC achieving its desired impact?

“... Networking and knowledge-sharing capabilities are its strength...but there needs to be sound Monitoring & Evaluation capability ... allowing it to provide clear evidence for its additional impact ...”



SSC DATA, all in one excel file



- Collects information from SSC groups for planning, monitoring and evaluation.
- Generation of annual *Species* reports.
- Descriptive statistics.
- Understand specialist group support needs.
- Information available by request to others, internal or external to the Commission.



70% of SSC groups created their SSC DATA profile



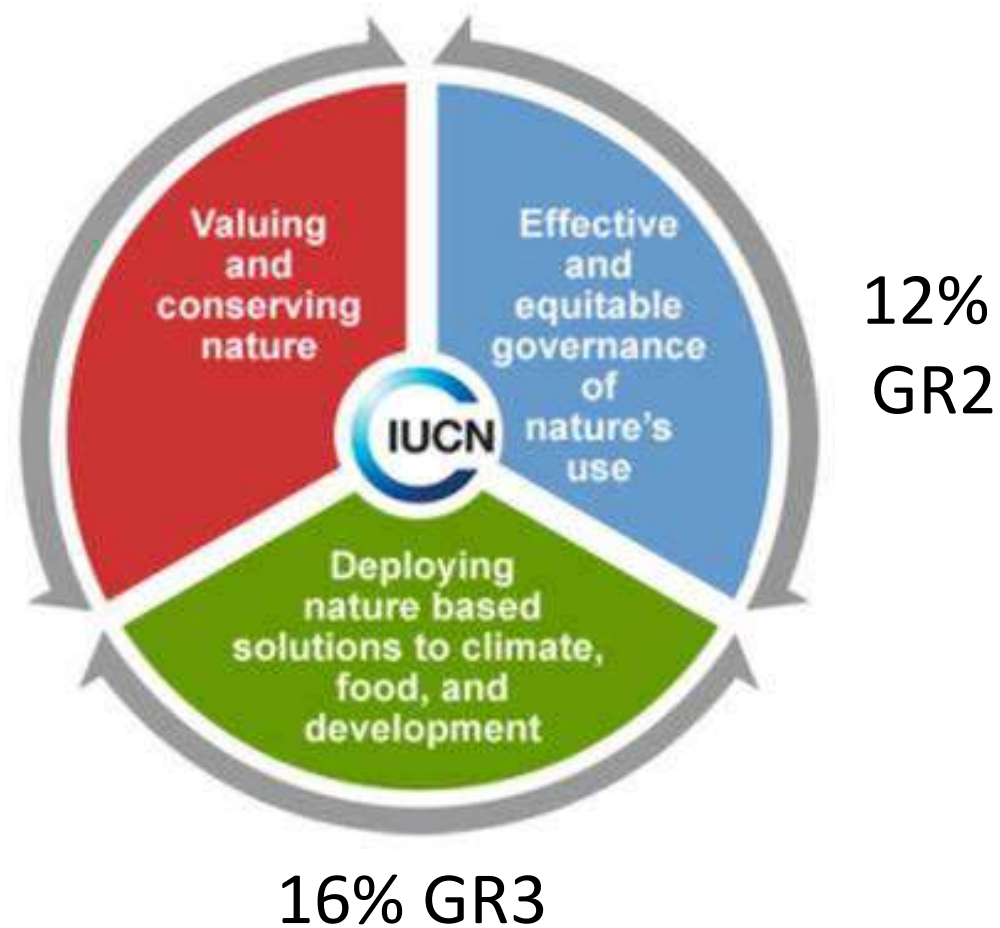
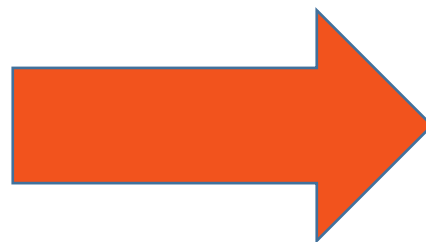
- Information available on SSC DATA profile:
 - Group leadership information.
 - Targets for the quadrennium (aligned with Key Species Results and IUCN Programme).
 - Activities and results per year (2017-2020).
 - Acknowledgements.
 - Impact for the quadrennium.



IUCN Programme 2017-2020 and Species Strategic Plan



72% of our Key Species Results are linked to **Global Result 1**





SSC and Global Species Programme



Meeting of SSC Chair's Office and staff of IUCN's Global Species Programme



Programme Area 1: Valuing and conserving nature



- 1.1 **Knowledge** for valuing and conserving biodiversity.
- 1.2 **Enforcement of laws and** policies for valuing and conserving biodiversity.
- 1.3 **Application of conservation measures** for conserving biodiversity.



SSC Highlights 2017

Programme Area 1: Valuing and conserving nature

1.1 Knowledge for valuing and conserving biodiversity



- Jonathan Hutton was appointed Chair of the Red List Committee.
- Bolster work at national scales: Simeon Bezeng is our new National Red List Programme Officer.
- New *SSC Quarterly Report* series. Streamlining SSC network content.



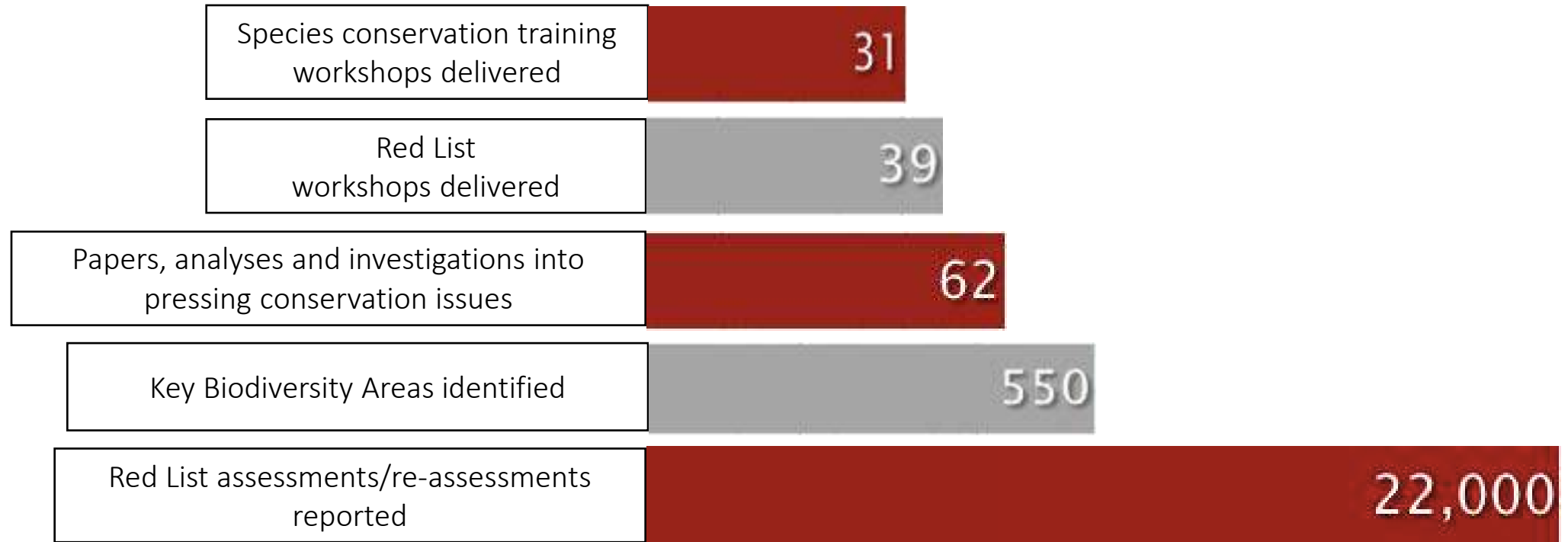
<https://www.iucn.org/theme/species/publications/ssc-quarterly-reports>



SSC Results 2017

Programme Area 1: Valuing and conserving nature

1.1 Knowledge for valuing and conserving biodiversity



Note: results obtained with ~70% of processed SSC DATA profiles (first review, April 2018)



SSC Results 2017

Programme Area 1: Valuing and conserving nature

1.1 Knowledge for valuing and conserving biodiversity



Note: results obtained with ~70% of processed SSC DATA profiles (first review, April 2018)



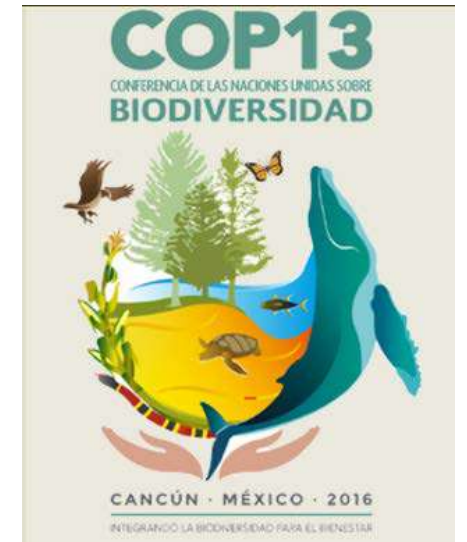
SSC Highlights 2017

Programme Area 1: Valuing and conserving nature

1.2 Enforcement of laws and policies for valuing and conserving biodiversity



- IUCN guidance on snake sustainable use approved by CITES. Non-detriment findings for snakes approved by CITES.
- IUCN report on Pangolins used by CITES Parties.
- Influenced CBD adoption of decision on Sustainable Wildlife Management, raised understanding of community involvement and livelihoods issues in wildlife management.



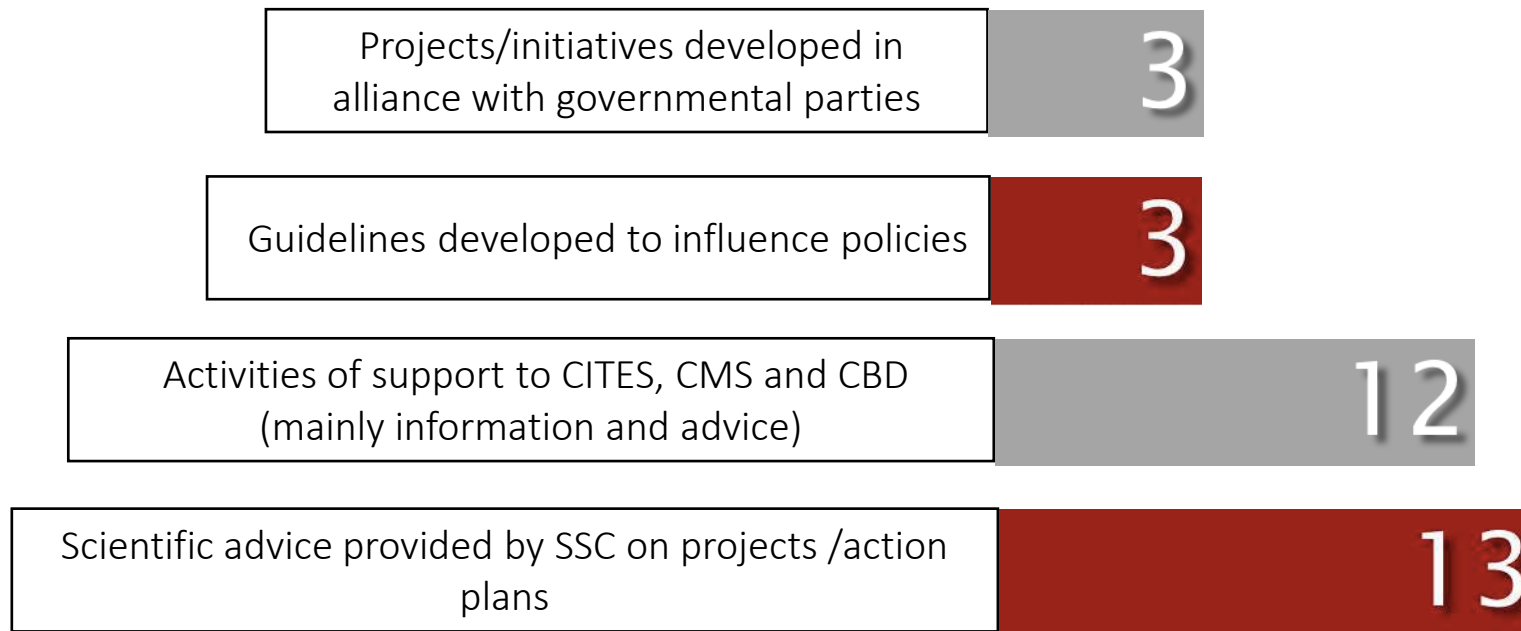


SSC Results 2017

Programme Area 1: Valuing and conserving nature



1.2 Enforcement of laws and policies for valuing and conserving biodiversity



Note: results obtained with ~70% of processed SSC DATA profiles (first review, April 2018)



SSC Highlights 2017

Programme Area 1: Valuing and conserving nature

1.3 Application of conservation measures for conserving biodiversity



<https://www.nationalgeographic.org/grants/grant-opportunities/species-recovery/>

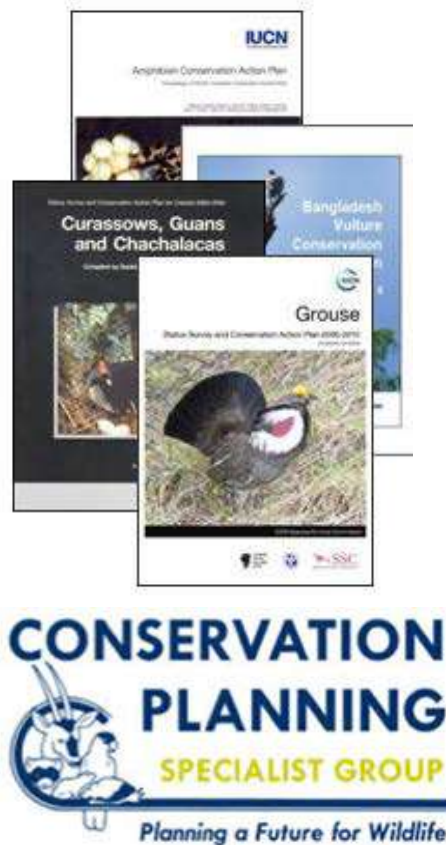
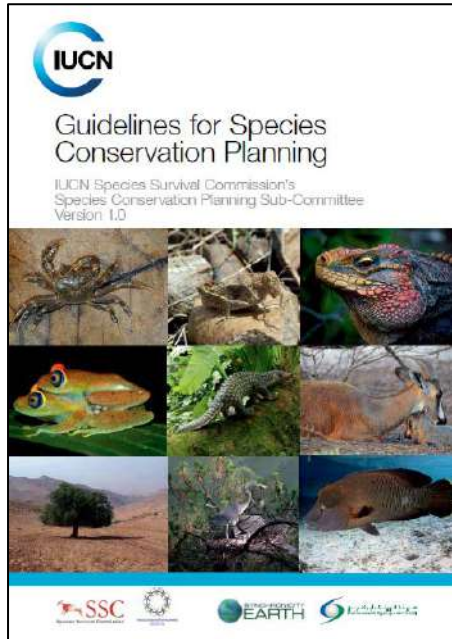
- National Geographic Request for Proposals.
- Conservation actions linked to priorities identified by SSC.
- 4 April 2018: 163 proposals received, US\$ 900,000 for 30 successful ones.
- October 2018: second round.
- 2019: four more rounds.



SSC Highlights 2017

Programme Area 1: Valuing and conserving nature

1.3 Application of conservation measures for conserving biodiversity



- New IUCN SSC *Guidelines for Species Conservation Planning*.
- Creation of a online inventory of SSC action plans and planning documents.
- Consolidation of species conservation planning. In 2017, the Conservation Breeding Specialist Group changed its name to Conservation Planning Specialist Group.

<https://portals.iucn.org/library/sites/library/files/documents/2017-065.pdf>



SSC Results 2017

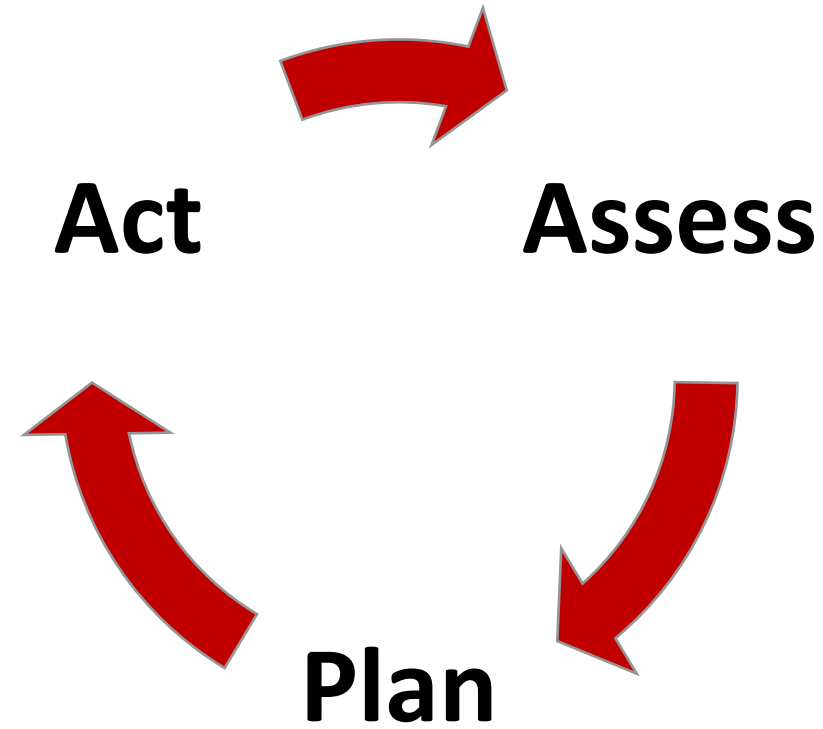
Programme Area 1: Valuing and conserving nature

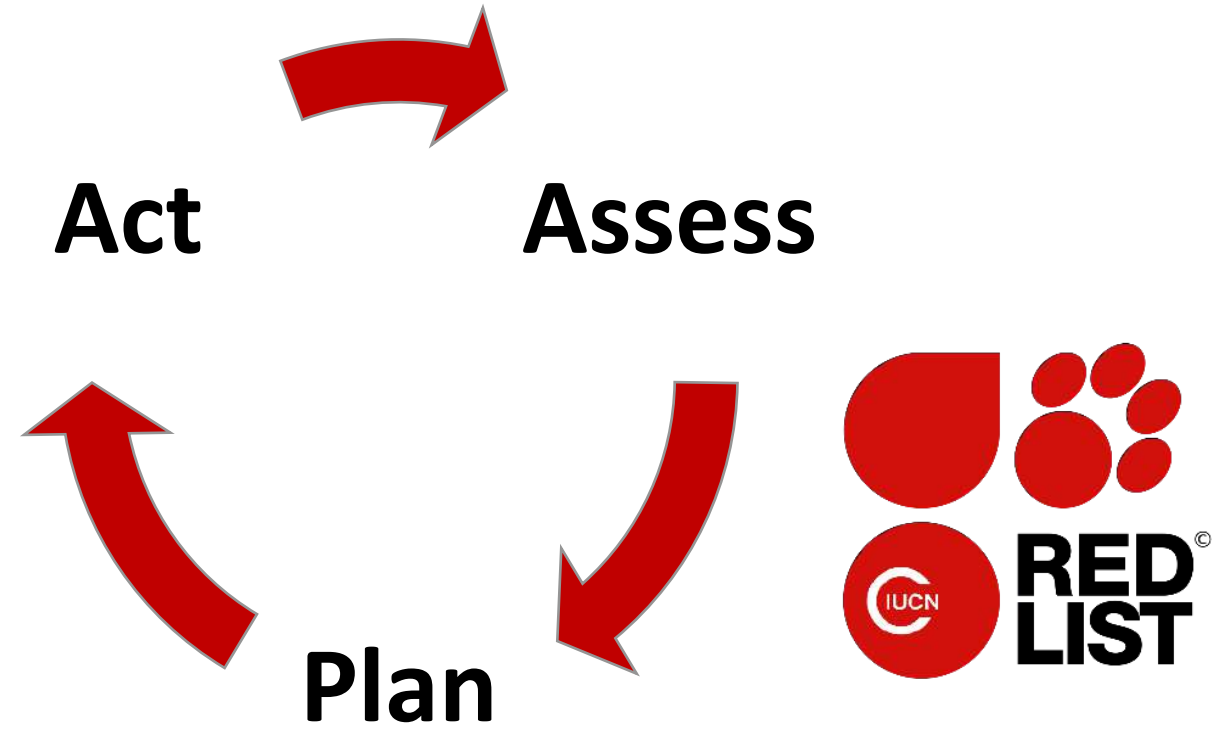


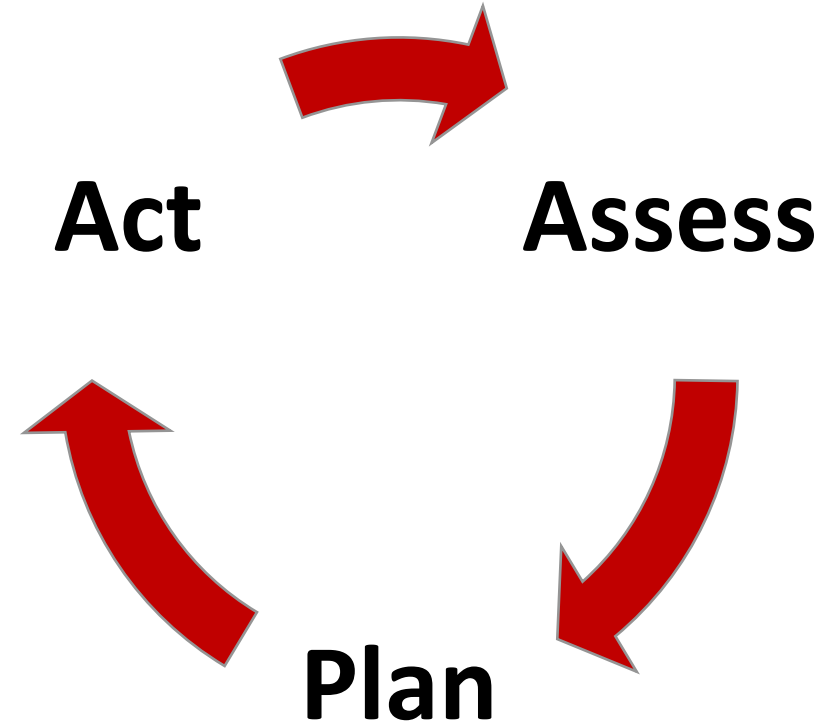
1.3 Application of conservation measures for conserving biodiversity



Note: results obtained with ~70% of processed SSC DATA profiles (first review, April 2018)







1 staff



3 staff



1 staff

Oceanário de Lisboa



+

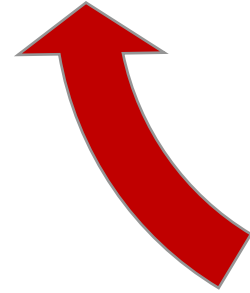


Act

Assess



Plan





+

Act



SSC Assess

Specialist
Groups



Plan





COF allocation 2017 (COF: Commission Operational Fund)



Description	Swiss Francs
Chair's Office travel and Representation costs	30,000
Deputy Chair's (or other designate) travel	5,000
Chair's assistant salary and benefits	87,000
Office running costs (communications, rent, etc.)	16,600
SSC Steering Committee meetings	40,000
Red List Committee	18,000
SSC Sub-Committees	33,400
Communications (Species, etc)	5,000
Total	235,000





SSC Fiscal sponsor: GWC



- Receive all non-COF funds on behalf of SSC.
- Issue contracts (e.g. consultants, travel, programmatic expenses) on behalf of SSC.
- Provide both cash and in-kind contributions (0% overhead).
- MOU (as with all other sponsor organizations) and Fiscal Sponsor Agreement signed.

Non COF income 2017



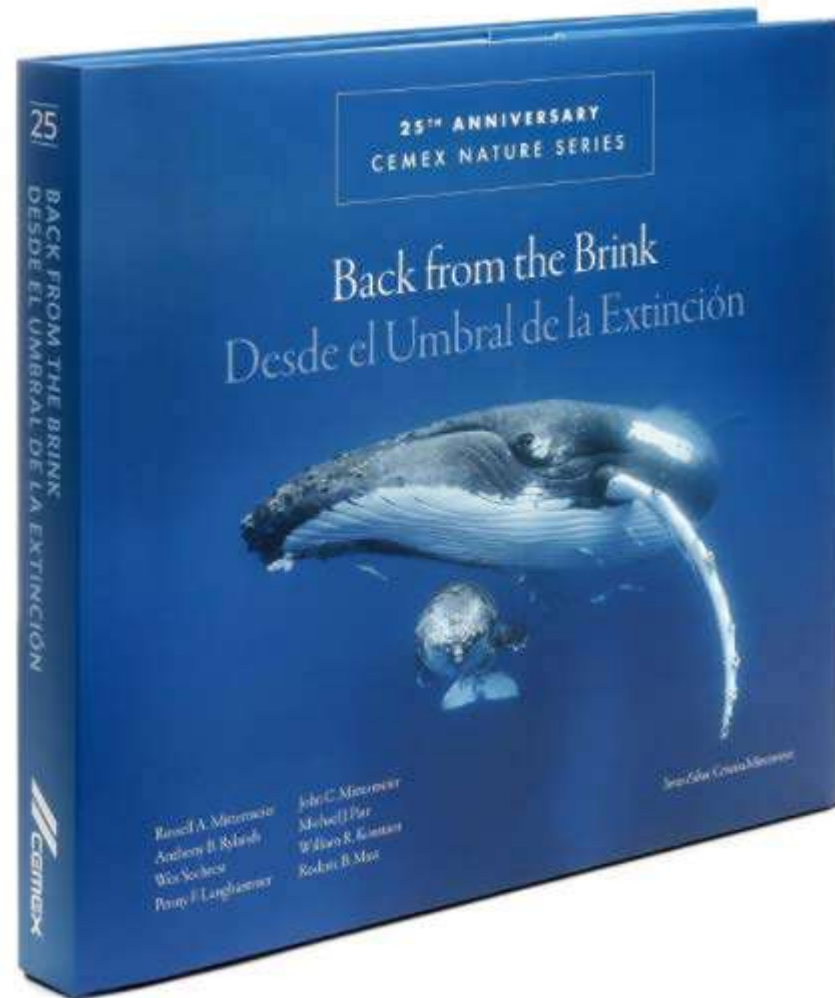
Cash (supporters)		US\$
< 10,000	12	63,809
10,000-25,000	13	167,104
25,000-50,000	7	250,275
> 50,000	1	742,170
Total	33	1,223,357
(Allocation to GSP)		CHF 300,000)
In kind (members @ CHF 500/day)		US\$
Chairs @ 10 h/week * 40 weeks	211	5,334,132
Others @ 2.5 h/week * 40 weeks	6,294	39,778,473
Total	6,505	45,112,606



Non COF allocation



Description	US\$
Honoraria (staff and consultants)	400,000
Programmatic activities	300,000
Specialist Group support	100,000
Travel / others	100,000
Total	900,000



Stories of conservation success.

Pick up a copy outside!



IUCN Council Meeting

Report from Kathy
MacKinnon
Commission Chair, WCPA
May 2018



World Commission on Protected Areas

- WCPA 2500+ members
- 10% YPs, 2 YP VC
- 34% women
- 23 members SC (7 women)
- 21 SGs and 5 TFs;
- Broad diversity in leadership
- Funding: COF 218k
- Joint Work Programme with GPAP,
- GMPP and World Heritage



WCPA Membership by region

	2016	2017	Current	Added 2018	Pending
Caribbean	45	60	61	1	1
Central America	38				
East Asia	89	77	79	2	0
E and S Africa	169	140	143	3	17
Europe	629	575	596	21	18
N Africa W Asia ME	101	89	90	1	5
North America	550	432	440	18	11
North Eurasia	66	53	56	3	2
Oceania	420	363	372	9	12
South America	275	261	266	5	6
South Asia	135	129	137	8	3
Southeast Asia	93	81	86	5	0
West and Central Africa	166	153	161	8	7
	2776	2413	2497	84	83

WCPA Objectives 2017-2020

- Support global efforts to expand and effectively manage systems of PAs to **achieve Aichi Targets, esp. Target 11**.
 - Recognise and mainstream **PAs as natural solutions** to global challenges, Climate Change, land degradation, food & water security, health and well-being;
 - Make the **case for investment in PA systems**, supported by **policy, capacity development & sustainable funding**;
 - Inspire all people, experience and value the wonder of nature through PA systems promote more support for conservation of natural ecosystems (**#NatureforAll**)
 - Support efforts to raise the standards and practices of **protected area governance and management** globally.
- **Joint Work Programme –Delivering Promise of Sydney**



Achieving Targets – 2017 Indicators

Global Target 1 Valuing and Conserving Nature 11 Indicators

Protected Planet (MPA maps), WDPA

Improving quality of PAs

Global Target 2 Governance 5 Indicators

WCPA Young Professionals are integrated across WCPA activities

Applying Competence Standards

New BPG on Privately Protected Areas

Global Target 3 Nature-based Solutions – 5 indicators

- 100 case studies on PANORAMA.
- contribution of PAs to relevant SDGs and Aichi Targets (Rec.067)
- *Joint programme of work involving PA financing is developed.*

Goals for 2017 - Aichi Target 11

- Networks of PAs & Conserved Areas (Protected Planet reports and WDPA)
- Expansion of Marine PAs
- Conserving important Biodiversity- KBAs
- Guidance Other Effective Area-base Conservation Measures (OECMs)
- Effective management – ME SG & Green List
- Equitable management – Governance SG
- Connectivity in land and seascape SG



Chile: A New leader on Marine Conservation

Chile: A Regional Leader in Maritime Conservation

Maritime areas protected under the government of Michelle Bachelet:



New Areas:



Chile has created over one million square kilometers of marine protected areas.

Chile: A Regional Leader in Maritime Conservation

Chile has created over 1 million square kilometers of marine protected areas.

Protected Species:

Tortuga Verde
Green Turtle
(Chelonia mydas)

Arrecifes de Coral
Coral Reefs

Lobo Fino de Juan Fernández
Juan Fernández Fur Seal
(Arctophoca philippii)

Langosta de Juan Fernández
Juan Fernández Rock Lobster
(Jasus frontalis)

Ballena Jorobada
Humpback Whale
(Megaptera novaeangliae)



UN ECOSISTEMA MARINO ÚNICO

Isla de Pascua posee un ecosistema marino único en el mundo, muy distinto a los de la costa continental, y que junto a la Isla Sábá y Gómez, conforman la ecoregión marina de Isla de Pascua. De características tropicales, sus aguas son cálidas y bajas en nutrientes.

TIPOS DE PROTECCIÓN MARITIMA EN CHILE

ÁREAS MARINAS PROTEGIDAS

Área de protección de recursos. Se puede pescar en forma sustentable. Actividades extractivas con plan de administración.

- La Rincoada Arica 2004 2,3 km² 1997
- Isla Chantal Atacama 2005 29 km²
- Isla Choros - Damas Coquimbo 2005 39 km²
- Choro Zapato Puntarenas 2005 7,4 km²
- Odróicoi Puntarenas 2008 7,5 km²

ÁREAS MARINAS PROTEGIDAS DE MÚLTIPLES USOS

Establecen gestión integrada a partir de estudios e inventarios de recursos para objetivos específicos de conservación e investigación sustentable según plan de administración.

- Isla Grande de Atacama Atacama 2004 88 km²
- Las Cruces Valparaíso 2005 0,36 km²
- Luffken Mago Llanquihue 2005 44,63 km²
- Choro Zapato Puntarenas 2005 7,4 km²
- Huanay Aconcagua 2008 2,12 km²
- Pitagoras - Atihu de las Reas 2005 44,63 km²

PARQUE MARINO

Preservan unidades ecológicas para mantener diversidad de especies y hábitat. No se puede realizar ningún tipo de actividad, solo investigación.

- Francisco Coloane Magallanes 2003 15 km²
- Motu Molofo Hvala Valparaíso 2019 150.000 km²
- Francisco Coloane Magallanes 2003 670 km²
- Parque Submarino Corralbañal, Molo Taitara y Hanga Dico, Isla de Pascua Valparaíso 2009

ESPACIOS COSTEROS MARINOS PUEBLOS ORIGINARIOS (ECMPO)

Administración es entregada a comunidades indígenas para preservar patrimonio natural y sus recursos.

- Truncal De Los Lagos 2005 244 ha

ÁREA MARINA COSTERA PROTEGIDA DE MÚLTIPLES USOS (AMCP-MU)

ISLA DE PASCUA
Superficie 720 mil km²



Moroi Hiva Sardinillas 19,5 cm

Langosta de Isla de Pascua Puntarenas 15-25 cm

TOTAL SUPERFICIE PROTEGIDA
1.600.000 km²

CABO DE HORNO

ISLAS DIEGO RAMIREZ

PARQUES MARINOS

Cabo de Hornos e Islas Diego Ramirez Magallanes 100.000 km² 2017

Motu Molo Hvala Valparaíso 100 km

PARQUES MARINOS
Naia-Desemboradas Valparaíso 297.518 km² 2016

ISLA SAN FELIX Superficie 4 km²

ISLA SAN AMBROSIO Superficie 2,2 km

RESERVAS MARINAS
Juan Fernández Valparaíso 450.000 km² 2011

Parque Marino Lobería Seebach

Parque Marino Tierra Blanca

Parque Marino El Arenal

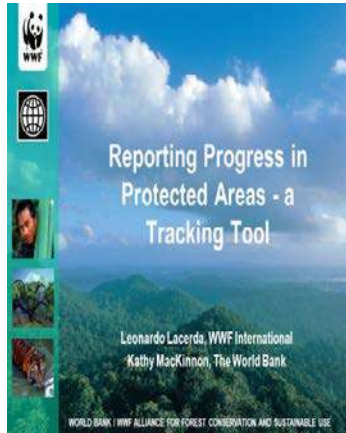
ISLA ALFONSO SOREL Superficie 48 km²

ISLA ROBINSON CRUSOE Superficie 47,9 km²

Riding the Wave -Marine PAs

- WPC, WCC proposed 30% MPA target, now 16%
- **IMPAC 4, Chile 2017** WCPA organising committee
- High Level Meeting - ministers
- Kenton Miller Award – Keobel Sakuma, Palau
- *Large-scale MPAs BPG* released Chile
- **IMPAC5** planning for Vancouver 2021
- Applying Global Standards MPAs
- *IUCN publications on Ocean Health*





QUALITY ASSURANCE: EFFECTIVE MANAGEMENT - GREEN LIST for PROTECTED and CONSERVED AREAS

- **Global Performance Standard** for driving & recognising area-based conservation success.
 - Approved by Council, Nov. 2017
 - Approval of Standard Version 1.1
- WCPA on Standards, Management and Green List Committee
- WCPA members on EAGLs
- Regional Priority
- **+ Management Effectiveness SG**

Recognising OECMs

Aichi Target 11 - well-connected systems of protected areas and **other effective area-based conservation measures**, integrated into the wider landscape and seascape

OECM TF providing guidance for CBD Parties, SBSTTA 22, COP14
CBD Parties review (Dec 2017, expert workshops Feb 2018)

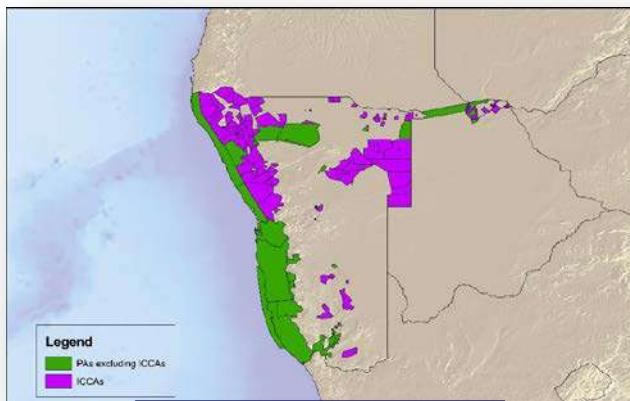
Range of governance types. Primary, 2ndary and ancillary
conservation

**Core difference to PA – effective conservation
regardless of management objective**

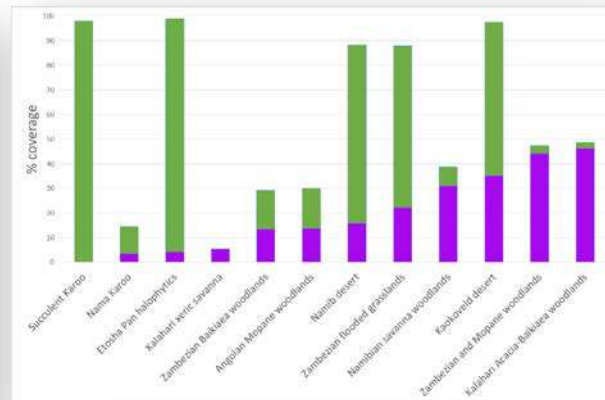


OECMs/ICCAs make a difference to coverage and ecological representation

- **Namibia:** 34 protected areas, 159,000km²
- **Conservancies:** 112 additional conserved areas, Add 164,000km²



Protected and Conserved Areas Coverage



Protection of Ecoregions

2030 SUSTAINABLE DEVELOPMENT GOALS



SDGs are strongly reflected in IUCN WCPA 'Natural Solutions' work

Fact Sheet PAs and SDGs

Protected Areas: nature-based solutions to global

challenges

PA systems helping to meet the challenges of climate change, food and water security, health and disaster risk reduction

Expanding Natural Solutions work – Natural Solutions SG CC SG, Urban, Health SGs

Natural Solutions Fact Sheets on CC, Water, Health,



Protected areas helping to meet the Sustainable Development Goals

The Sustainable Development Goals (SDGs) will be the driving force behind much of the global work on sustainable development and conservation for the next decade, until 2030. It is important to align protected area policies and the work of the IUCN World Commission on Protected Areas (WCPA) as far as possible within their framework.

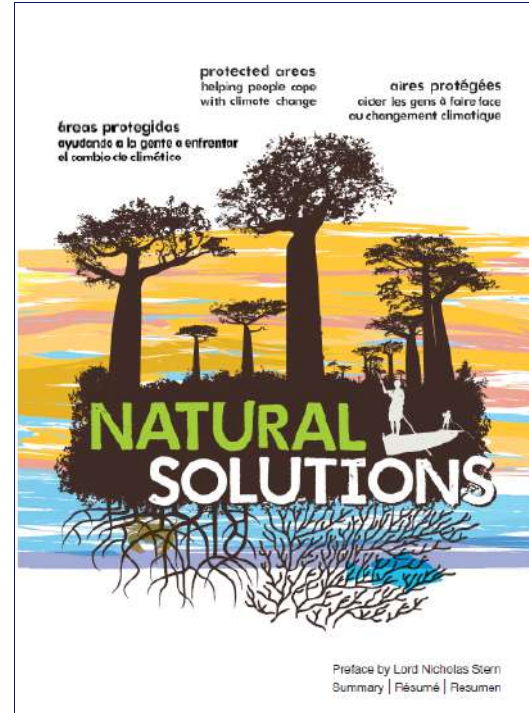
Fortunately, this is easy: the SDGs reflect many 2017–2020 policy objectives of WCPA, which include: (1) Catalyzing and supporting global efforts to expand and effectively manage systems of protected areas to achieve the Aichi Targets for halting biodiversity loss, in particular through meeting Aichi Target 11, and (2) Recognising and mainstreaming protected areas as natural solutions to global challenges, such as climate change, land

degradation, food and water security, health and well-being.

The briefing considers each SDG and identifies targets that provide opportunities for the further development of protected areas or have implications for the ways in which protected areas will be managed in the future. Links can be identified in all 17 SDGs: 34 opportunities and 12 implications.

The two strongest links are with SDGs 14 and 15, where marine and terrestrial protected areas contribute directly to the goals. Other SDG targets provide opportunities to underscore the contribution that PAs can make to human welfare and wellbeing including poverty alleviation, food and water security, health, disaster risk reduction, sustainable cities and climate change strategies.

SUSTAINABLE DEVELOPMENT GOALS



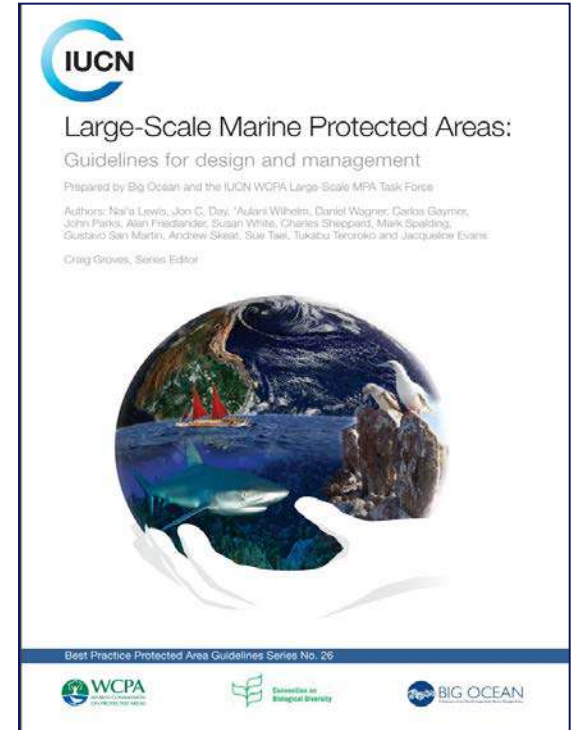
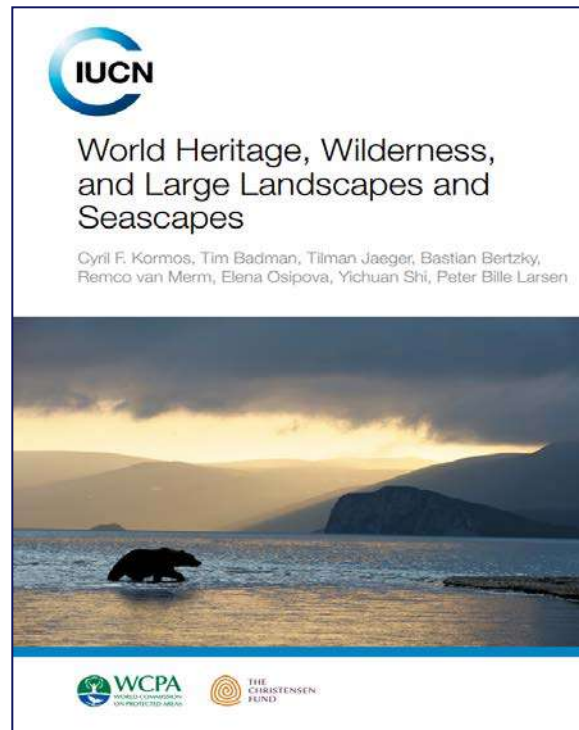
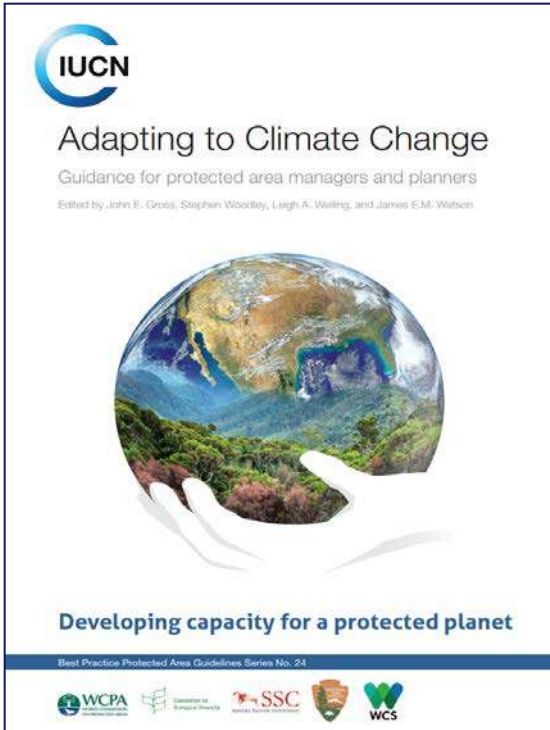
Health and Wellbeing

- Health and Well-being SG, support Parks Victoria
- 2017 *Nature is the Best Medicine*, Public Health Conference, Melbourne
- HPHP Australia, Colombia, USNPS, New Zealand
- Links to IUCN Urban Alliance
- World Urban Parks Conference 2018
- #NatureForAll, Urban Strategies SG
- Salzburg Global Forum meetings

3 GOOD HEALTH
AND WELL-BEING



Building Capacity





A Global Register of Competences for Protected Area Practitioners

A comprehensive directory of and user guide to the skills, knowledge and personal qualities required by managers, staff and stewards of protected and other conserved areas

Compiled by Mike Appleton



Developing capacity for a protected planet

Protected Area Technical Report Series No. 2



Registre mondial des compétences pour les praticiens des aires protégées

Répertoire et manuel complet des aptitudes, connaissances, et qualités attendues des gestionnaires, du personnel, et des intervenants des aires protégées et autres aires conservées

Elaboré par Mike Appleton



Développement des capacités pour une planète protégée

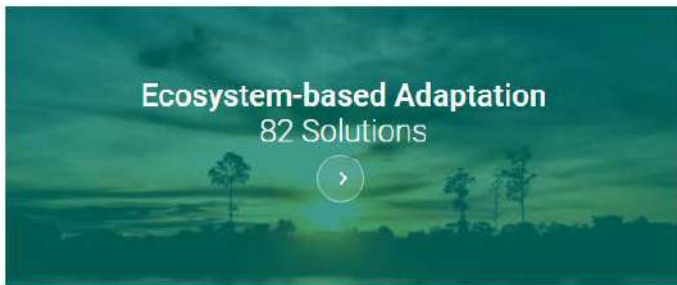
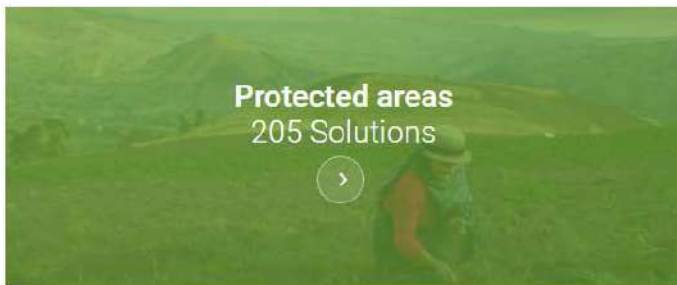
Rapport technique des aires protégées, Série n° 2



PANORAMA

SOLUTIONS FOR A HEALTHY PLANET

Thematic Portals



Challenges

- Restructured IUCN, Commission Support Unit
- Portal issues, incl. membership management
- Expanding regional WCPA networks
- Strengthening Capacity regionally
([BIOPAMA2](#))
- Raising awareness of PA socioeconomic values
- Aligning PAs with delivery of SDGs
- Sustainable/innovative financing for PAs and
- Funding for WCPA activities



WCPA in-kind and Cash Contributions

- Number of days contributed 7400 days @ CHF500/day = CHF3.7m
- Full and part-time staff contributed Parks Canada, Environment Canada, USNPS
- Cash contributions: CHF2.3m (includes funds raised for IMPAC4 (1m), and IUCN projects (0.5m))
- 2 MOUs (Connectivity, Post Aichi TF)
- 1 Hosting Arrangement in prep.



Looking Ahead

- COP14 CBD Egypt November, 2018, SBATTA 22, Montreal July – PA focus
- WILD 11 China, 2019
- Sydney+5 review 2019 (WCPA 60th Anniversary)
- Prepare for LAC PA Congress, link to Regional Forum?
- Regional Africa Parks Congress, 2019
- Post 2020 Targets (Post 2020 TF) beyond Aichi 11



WCPA – working for global conservation

https://www.iucn.org/sites/dev/files/content/documents/technical_report.pdf



**IUCN, INTERNATIONAL UNION FOR CONSERVATION OF NATURE
64th Meeting of the Finance and Audit Committee (FAC)
29-30 April 2018**

Enterprise Risk Management Policy and Risk Appetite Statement

Origin: Acting Head, Planning, Monitoring and Risk Management

Action requested:

The Finance and Audit Committee is requested to REVIEW the draft Enterprise Risk Management Policy and make a recommendation to Council on its approval.

The Finance and Audit Committee is requested to REVIEW the draft Risk Appetite Statement and make a recommendation to Council on its approval.

Background

In previous meetings, including at its 93rd meeting, Council discussed strategic risks facing the Union and the development of a risk management framework. Accordingly, a Policy was released to staff as an exposure draft in November 2017.

Through this Policy, IUCN commits to ensuring that Enterprise Risk Management practices are consistently applied to its processes and operations to drive effective and accountable decision making and management practice.

The Policy constitutes a first attempt at formalising Enterprise Risk Management and follows best practice of other organisations as well as relevant standards. It should be understood as starting point. As the organisation's understanding and management of risk matures, and as best practice evolves, the Policy is likely to require updating.

A draft Risk Appetite Statement has also been developed. This formalises the level of risk the organisation is willing to take related to its business objectives. It also requires approval from Council.

Policy on Enterprise Risk Management

Version 2.0 April 2018

FINAL DRAFT, FOR APPROVAL BY COUNCIL

Code Version Control and History: Policy on Enterprise Risk Management

Title	Policy on Enterprise Risk Management
Version	Version 2.0 March 2018
Source language	English
Published in French under the title	-
Published in Spanish under the title	-
Responsible Unit	Planning, Monitoring, Evaluation and Risk Management Unit (PMER)
Developed by	Office of the Director General
Subject (Taxonomy)	Policy
Date approved	MM YY
Approved by	Council
Applicable to	IUCN Secretariat
Purpose	The IUCN Policy on Enterprise Risk Management outlines the principles of the internationally recognised risk management systems as applicable to IUCN.
Related Documents	IUCN Policy on Internal Control [forthcoming] IUCN Guide to Internal Control Risk Control Self-Assessment Checklists
Distribution	Sent to all staff members world-wide, available on the IUCN Union Portal (intranet), provided for information to all partner organisations and suppliers with contracts with IUCN, and available on request.

Document History

Version 1.0	November 2017 (Exposure draft)
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For further information, contact:

Planning, Monitoring, Evaluation and Risk Management Unit (PMER)

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1. Introduction

As the largest conservation organisation in the world with unique breadth of expertise and global reach, International Union for the Conservation of Nature (IUCN) has a unique ability to take informed risks to achieve greater value for its stakeholders – including its Members, donors and partners.

Like all entities, it faces uncertainty in the pursuit of value. An “uncertainty” is generally understood to be something not completely known, or the condition of not being sure of something. Risk involves uncertainty and affects an organisation’s ability to achieve its strategy and business objectives. Therefore, one challenge for management is determining how much uncertainty, and therefore how much risk, the organisation is prepared and able to accept.

IUCN recognises that the complexity of risk has substantially changed and new risks have emerged. It also recognises that its stakeholders have enhanced their awareness and oversight of Enterprise Risk Management (ERM) while asking for improved risk reporting. Effective Enterprise Risk Management enables management to balance exposure against opportunity, with the goal of enhancing capabilities to create, preserve, and ultimately realise value.

What is Enterprise Risk Management and why is it important?¹

- An oversight tool for management to enhance capturing of strategic, financial, operational, compliance, reputational and external risks surrounding the business environment.
- An ERM system should be fit-for-purpose and provide a complete and accurate view of the risk profile. If it does not, there is a potential of being exposed to increased scrutiny from stakeholders.

The purpose of this policy² is to:

- incorporate a common and consistent approach to risk management into the culture and strategic planning processes of the organisation that supports decision making and resource allocation.
- apply a consistent approach to risk management to support the Union’s governance responsibilities for setting strategic direction and policy guidance, providing oversight and guidance on the performance of the components of the Union and fulfilling its fiduciary responsibilities³.
- establish appropriate measures to address unfavourable impacts from risks and favourable benefits from opportunities.
- foster a transparent approach to risk through appropriate communication.

Enterprise Risk Management is about creating an appropriate and responsive risk environment within the organisation. It is an integral component of IUCN’s accountability framework and is integrated within governance and internal control systems (see figure 1).

¹ Adapted from PwC (no date), Enterprise Risk Management: Rethinking risk from a different perspective. Available at <https://www.pwc.com/m1/en/services/assurance/risk-assurance/enterprise-risk-management.html>

² Adapted from Trent University, 2013. Available at

<https://www.trentu.ca/riskmanagement/sites/trentu.ca.riskmanagement/files/documents/ERMpolicyDec62013.pdf>

³ See IUCN Statutes, §37(b)(i) to (iii)

Figure 1
Integrated governance, risk management, control/compliance systems



IUCN’s Enterprise Risk Management is based on an understanding of trade-offs between managing negative risks and impacts – on the one hand – and maximising our likelihood of delivering our Mission – on the other. An effective ERM allows IUCN management to: identify and treat risk throughout the organisation; identify opportunities and threats; encourage proactive management and better informed strategic decision taking; and effectively allocate and use resources for risk treatment.

Table 1 provides a breakdown of roles and responsibilities in the implementation of this policy.

Table 1
Summary of ERM roles and responsibilities

Council	Provides policy, oversight and review of Enterprise Risk Management. Approves Risk Appetite Statement
Finance and Audit Committee (FAC)	Performs regular review of Enterprise Risk Management activities, including Enterprise Risk Management Plan
Director General	Drives culture of risk management and chairs Risk Management Committee
Head, Planning, Monitoring, Evaluation and Risk Management	Continuously improves supporting procedures and guidance. Provides support to Risk Management Committee. Updates ERM Plan
Leadership Team ⁴	Ensure staff in their units comply with Enterprise Risk Management policy including by fostering a culture where risks can be identified and escalated
Staff	Comply with Enterprise Risk Management policy and supporting procedures and guidance

⁴ See <https://www.iucn.org/about/senior-management/leadership-team>

2. Policy statement

IUCN commits to ensuring that Enterprise Risk Management practices are consistently applied to its processes and operations to drive effective and accountable decision making and management practice. The Enterprise Risk Management Policy requires risk identification, analysis, evaluation and response on a recurrent basis.

3. Scope

This Policy is applicable to all IUCN staff. External and internal risk factors that could potentially affect performance of the organisation against stated objectives are identified and reported in risk registers. These are reviewed by the Risk Management Committee and are subsequently reported to Council.

IUCN's risk management methodology is applied at all levels within its relevant internal and external context. This includes entity-wide elements such as IUCN's strategic objectives but also the regional specific context (e.g. the particular group of stakeholders an office interacts with).

It should be noted that this policy does not cover Project risk management, only Enterprise risk management. Although couched in similar language and using similar tools, and whilst one can be impacted by the other, these are two fundamentally different approaches to risk management (see [table 2](#)). Separate guidance covers project management, including project risk management.

Table 2
Enterprise risk management vs Project risk management⁵

Enterprise risk management	Project risk management
<ul style="list-style-type: none">• is about culture – it is about cultural transformation of the organisation• Enterprise view is on the organisation and particularly strategic planning and how oversight of the organisation is accomplished• Focus on risks associated with strategic planning process• Embedded within organisation's approach to governance and oversight• Looks at how the organisation is run at the highest level	<ul style="list-style-type: none">• is transactional in nature – it looks at risks associated with a given project, where risks get identified, analysed and get addressed.• Project view is around a single initiative and how that is approached• Embedded within approach to Project Management

⁵ Adapted from Mark E. Mullaly, 2016. Enterprise and Project Risk: separated at birth?

4. Terms and definitions⁶

Enterprise risk management. Coordinated activities to direct and control an organisation with regard to risk. It is applied in strategy-setting throughout the organisation. Internal control is encompassed within and is an integral part of enterprise risk management.

Event. The occurrence or change of a particular set of circumstances. An event always has a cause (or several causes), can have one or more occurrences, and a consequence. An event is sometimes referred to as an “incident” or “accident”. An event without a consequence is referred to as a “near miss”.

Inherent (gross) risk. The risk to an organisation in the absence of any actions management might take to alter either the risk’s likelihood or impact.

Impact (consequence). Result or effect of an event. There may be a range of possible impacts associated with an event. The impact of an event can be positive or negative relative to the organisation’s related objectives.

Likelihood (probability). The chance of something happening.

Current (residual or net) risk. The remaining risk after management has taken action to alter the risk’s likelihood or impact.

Risk. The effects of uncertainty on organisational objectives. An effect is a deviation from the expected — positive and/or negative. It is best practice to formulate risk in the term of “future event”.

Risk appetite. The broad-based amount of risk an organisation is willing to accept in pursuit of its mission.

Risk assessment. The overall process of risk identification, risk analysis and risk evaluation.

Risk level. Magnitude of a risk or combination of risks, expressed in terms of the combination of impact and their likelihood.

Risk manager. A designated person responsible for facilitating and coordinating the management of risk.

Risk owner. The person or entity with the responsibility to manage a risk.

Risk profile. A description of any set of risks. The set of risks can contain those that relate to the whole organisation, part of the organisation, or as otherwise defined.

Risk register. A risk management tool that serves as record of all risk identified by the office. For each risk identified, it should include information such as likelihood, impact, treatment options, etc.

⁶ Include reference for this section

Risk tolerance. The acceptable variation relative to the achievement of an objective.

Risk treatment⁷. A measure to modify risk. Risk treatment can involve: avoiding the risk by deciding not to start or continue with the activity that gives rise to the risk; taking or increasing risk in order to pursue an opportunity; removing the risk source; changing the likelihood; changing the consequences; sharing the risk with another party or parties; retaining the risk by informed decision. Risk treatments that deal with negative consequences are sometimes referred to as “risk mitigation”, “risk elimination”, “risk prevention” and “risk reduction”. It should be noted that risk treatment in itself can create new risks or modify existing risks.

Target risk: The desired level of risk consistent with established risk tolerance and appetite.

5. Enterprise risk management framework

The enterprise risk management framework is the overall structure within which IUCN oversees and manages risk to help ensure the fulfilment of its strategic and business objectives. ERM is, in essence, the capability to effectively answer the questions in [figure 2](#).



⁷ Adapted from ISO Guide 73:2009, Risk management – Vocabulary

⁸ Adapted from Risk Management Association. Components, which are reviewed in the following subsections, are meant to be dynamic, i.e. carried out back and forth in any sequence. See <https://www.rmahq.org/erm-framework/>

5.1 Risk Appetite⁹

HOW MUCH RISK
ARE WE WILLING TO
TAKE?

Risk management operates in the context of the organisation's goals and objective (business strategy). Asking the basic question "what is our strategy and associated risks?" allows the organisation to assess the risk implied in that strategy and determines the level of risk it is willing to assume in executing that strategy.

A risk appetite statement formalises the level of risk an organisation is willing to take related to its business objectives. This "risk philosophy" should be based on the organisation's vision, mission, strategic plan.

At any one time, an organisation needs to know how much risk is being taken on, what value the organisation is deriving from taking on that risk and whether or not the controls and processes in place are sufficient to reduce that risk to a level (current risk) that the organisation is comfortable retaining.

An initial framing of IUCN's exposure to risk includes the following categories: strategic, financial, operational, compliance, reputational, and external (see annex 1).

Council approves the overall risk appetite and risk tolerances that align with stakeholder expectations. Management develops and executes strategies and plans that are consistent with Council's mandate on risk taking. The Risk Appetite Statement is typically reviewed annually or whenever there is a significant change to the Union's operating environment.

5.2 Governance & policies

HOW GOOD ARE
WE AT OVERSEEING
RISK TAKING?

Culture is a core aspect, arguably the most important aspect, of an ERM framework. Culture is developed and shaped by staff at all levels by what they say and do. It is people who establish IUCN's strategy, and business objectives and put enterprise risk management practices in place. Similarly, enterprise risk management helps staff understand risk in the context of IUCN's strategies and business objectives.

Culture, governance and policies (describing to stakeholders what the organisation is willing to do and not to do) collectively help an organisation manage its risk-taking activities.

Clear responsibilities in addressing risk and control and how efforts are coordinated is presented in figure 3. This illustrates IUCN's delineation of roles and responsibilities for risk and control management, as adapted from the Three Lines of Defense Model¹⁰. This is further detailed in table 4.

⁹ Adapted from Gert Cloete and David Goldsworthy, Institute of Risk Management, South Africa (no date). Risk Appetite. Available at <https://www.theirm.org/media/1122561/IRM-Risk-Appetite-Presentation-Feb-2014.pdf>; Nadine Boghdadi, 2015. Risk Appetite Statement: Make or break? Available at

https://www.willis.com/subsites/australia/Documents/Publications/services/BusinessRisk/W0477AU_Thought_Leadership_Article_Risk_Appetite_Statement_web.pdf; and Jim Toole and Matt Stahl, 2016. Developing a Robust Risk Appetite Statement.

¹⁰ The Three Lines of Defense in Effective Risk Management and Control, The Institute of Internal Auditors, January 2013. Available at <https://na.theiia.org/standards-guidance/Public%20Documents/PP%20The%20Three%20Lines%20of%20Defense%20in%20Effective%20Risk%20Management%20and%20Control.pdf>

Figure 3
Addressing risk and control in IUCN



Table 4
Understanding the Three Lines of Defense model

First line of defense	The first level concerns functions that <i>own and manage</i> risks and controls (business and process owners). At IUCN, these functions are carried out by all staff by applying existing policies and procedures in their daily work to ensure that objectives are met and resources entrusted to IUCN are properly managed.
Second line of defense	The second level concerns functions that <i>oversee</i> risks and controls. Controls at the second level are designed to monitor the operational effectiveness of the first level and mitigate related risks. They are exercised by those functions responsible for monitoring the effectiveness of internal control and risk management, such as regional offices and headquarter functions. In fact, some functions, as well as individual roles, may carry out responsibilities that are part of both the first and second line of defense. The second line of defense includes functions such as financial control, risk management, compliance and ethics, planning and budgeting processes, quality management, monitoring and evaluation, performance management, etc.
Third line of defense	The third level concerns functions that provide <i>independent assurance</i> of the efficiency and effectiveness of processes and controls in place. The internal Oversight Unit is the primary third line of defense.
External line of defense	The external auditors, regulatory authorities, and other evaluators supplemented the internal lines of defense by providing independent assurance and/or assessments on financial reporting as well as strategic, operational, and compliance objectives.

For each risk, there are three levels of responsibility (noting that the same person can have multiple responsibilities):

Accountability. The top layer of accountability follows the line hierarchy. To give an example, the director of a regional office is ultimately responsible for assuring that his/her regional office and its country offices identify, analyse and manage risks on a regular basis.

Ownership. The second layer of ownership does not follow a line hierarchy by default; an owner can be anyone who has been assigned such responsibility. Usually, ownership is assigned based on the principle of who is “best suited”. A risk owner must be assigned to each individual risk event, and as such, responsibility is typically based on who is familiar with the risk and has the skills, authority, and accountability to manage the risk.

Execution. The third layer of execution refers to the person that is responsible for a specific task.

The roles and responsibilities of the risk management framework may be divided into business owners and support functions, where business owners are accountable for the content, such as risk assessments and updated risk profiles; and support functions uphold and maintain the risk management system as such and carry out strategic assessments and analysis of the overall risk profile.

The roles and responsibilities pertaining to the input and output of the risk management process ultimately lie with business owners at each level of the organisation. While the actual treatment of risks may be executed by other internal or external offices/functions, the responsibility for managing risks remains with the business owner:

- **Members of the Leadership Team.** Are accountable for ensuring that the risk registers of relevant regional and country offices, units and programmes are regularly updated, that identified risks are treated and that any risk that cannot be addressed be escalated/brought to the attention of the Leadership Team through the Risk Management Committee.
- **Heads of Unit/Office.** Are responsible for risk management at the unit/office/programme level, accountable to the relevant Director for ensuring that the risk register is regularly updated, that risks are treated and that any risk that cannot be addressed at that level is escalated to the Director.

5.3 Risk data & infrastructure

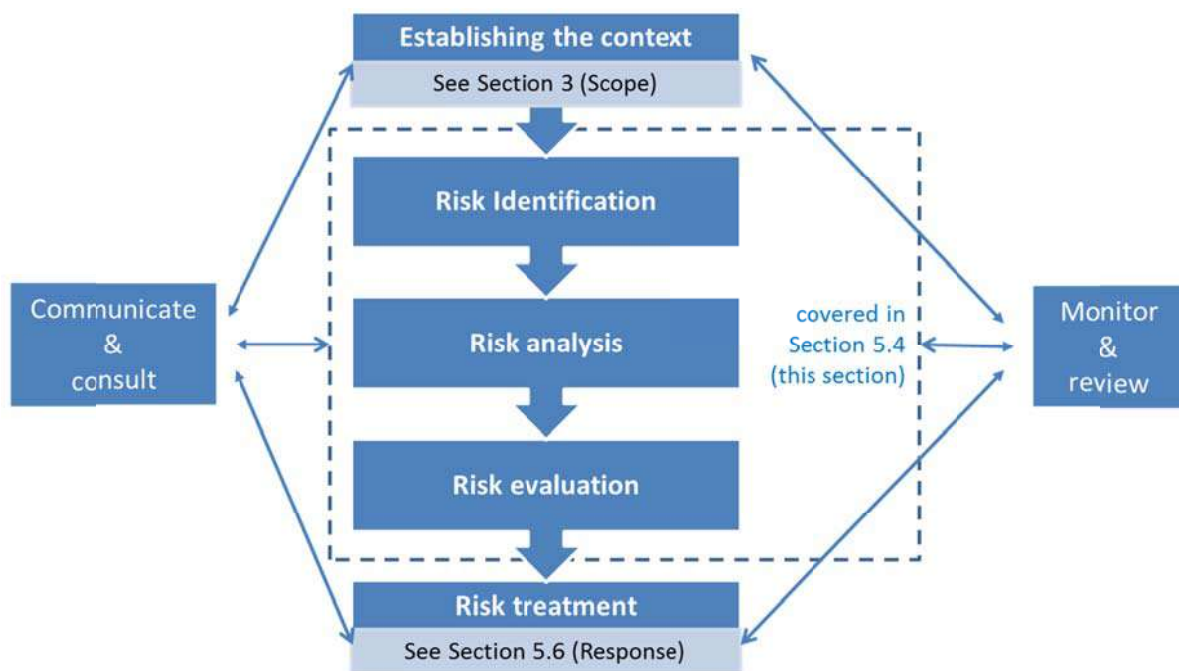
For Council and management to accomplish their risk management responsibilities, there is a need for a detailed and accurate understanding of IUCN’s risk profile. This means that a significant effort needs to go into reviewing how information is collected, integrated and analysed.

To ensure effective, systematic and coordinated implementation of the Enterprise Risk Management framework, the Director General and the Leadership Team will convene a least one session annually to review the effectiveness of the framework, in particular with respect to data and infrastructure.

5.4 Measurement, evaluation and communication

Risk management is the practice of proactively identifying, assessing, mitigating and reporting on risk. IUCN’s risk management process is largely based on ISO’s Risk management standard (see figure 4)¹¹.

Figure 4
ISO 31000:2009 Process overview



Risk identification. Identify risks relevant to the established context and objectives, where each risk consists of three components: a risk event, cause(s), and impact(s).

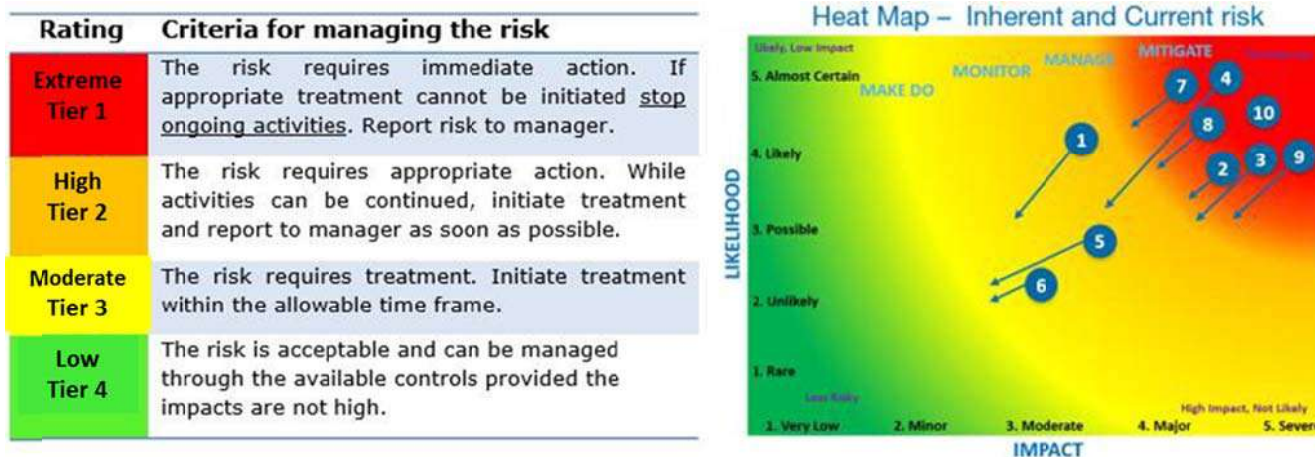
Risk analysis. Assign likelihood and impact of the risk by applying the criteria model shown in Annex 2 to established the inherent risk. By considering causes and existing controls, the likelihood and impact of a risk are further estimated to establish the current risk. Where applicable, in place of the likelihood impact criteria model, the use of more detailed analytical tools is also encouraged (e.g. business impact analysis, environmental and social impact assessment, fraud risk assessment, security risk analysis, etc.).

Risk evaluation. The evaluation of risks is a decision-making process. The risk levels of all analysed risks are evaluated to determine which risks need treatment and their priority (see Figure 5). The focus of attention is primarily on high and extreme risks. Although low and moderate risks may not be subject to further risk management processes, it is important that they are documented and added to the risk register to demonstrate the completeness of the risk analysis. When an assessed risk exceeds the acceptable risk level, management of the risk must be initiated.

¹¹ ISO 31000:2018, Risk management – Guidelines. Section 3 (Scope) deals with “establishing the context”; section 5.6 (Response) deals with “treating risk”. Monitor & review as well as communicate & consult take place throughout.

IUCN will have different risk appetites for different categories of risk, in that regard, the risk acceptance guidance would be provided by the respective office for decision making.

Figure 5
General risk acceptance guidance for evaluating risk



Communication and consultation with relevant stakeholders should take place at all stages of the risk assessment process and at regular/planned intervals. Communicating through regular reports on risks and risk profiles helps IUCN to create risk awareness at all levels of the organisation, and ultimately builds a transparent and improved decision making process (see table 4).

Table 4
ERM reporting requirements

Report ¹²	Audience	What it covers	Who is responsible	Periodicity
Summary risk report <i>(requires update of Risk Register database)</i>	Risk Management Committee	<ul style="list-style-type: none"> includes summary of current risk landscape (risk matrix/heat map) includes description of overall impact of risks on objectives and list of top key risks and treatment status includes updated risk register 	All LT members	2 / year
ERM Plan <i>(requires update of Risk register database)</i>	FAC	Summary of strategic risks, expanding on Tier 1 risks	Head, PMER	2 / year

¹² The exact typology, hierarchy and naming conventions of reports may be reviewed and updated as needed by the Risk Management Committee.

Director General's Report to Council¹³	Council	Summary of strategic risks, aligned with ERM Plan	CoS	1 / year
Ad-hoc reports	Risk Management Committee	<ul style="list-style-type: none"> • Can be email/phone • Risk register should be updated as soon as possible. 	Head, PMER	as needed

5.5 Control environment

HOW WELL DO WE MANAGE THE RISKS?

The internal control environment is one of the most important tools for the management of risk. The set of standards, processes and structures that provide the basis for carrying out internal control across IUCN. It includes establishing the tone at the top regarding the importance of internal control and expected standards of conduct.

Internal controls help reduce the level of inherent risk to a level acceptable to management. The system of internal controls includes culture, governance, policies, preventive and detective controls, and scenario planning. IUCN's Policy on Internal Control¹⁴ provides an overview of roles and responsibilities covering the three lines of defense model.

Management relies on internal controls to manage residual risk (level of inherent risks reduced by internal controls) to an acceptable level. Building an effective internal control environment allows management to control what can be controlled.

5.6 Response

WHAT ARE WE DOING ABOUT THE RISKS?

For each unacceptable risk, the business owner identifies response options, including tangible resources (people, funds, infrastructure, materials or time) or intangible (goodwill, knowledge, intellectual property, and authority). The owner of the risks may respond as describe in [table 5](#).

Table 5
Response options to risk

Tolerate	Accept the risk if the opportunities outweigh the risk. The risk owner should, however, continue to monitor the risk
Treat/Mitigate¹⁵	Reduce the impact, likelihood or both and/or improve the existing controls or develop new controls to reduce the risk to acceptable levels
Transfer	Move the risk so that a third party takes on the responsibility for an aspect of the threat
Terminate	Avoid the risk by not undertaking the programme activity(ies) associated with the risk or changing the scope, procurement process, supplier or sequence of activities, among others depending on the type of risk

¹³ In line with Strategic planning and reporting framework which requires that a "strategic risk matrix" be included (Annex 4 to Council decision C/88/7).

¹⁴ Under development.

¹⁵ See definition of "risk treatment" in section 4 (Terms and definitions).

The primary goal of risk treatment is to prepare and document specific management responses (mitigation actions), timelines, and indicators to monitor the risks and assign owners to the risks. The risk owner is responsible for the management of all activities associated with the efforts to reduce the risks to acceptable levels.

As a general principle, risks are identified, analysed, evaluated and treated as close to the risk owner as possible. In some cases, however, circumstances pertaining to the treatment itself may exceed the authority/mandate of the risk owner, for example:

- treatment of the risk requires decisions/actions, e.g. expenditures, that are beyond what the risk owner is authorised to decide;
- the risk cuts across, or may impact, multiple offices (e.g. it affects a number of regional or country offices or the entire organisation), and/or addressing the risk requires action by multiple offices;
- addressing the risk requires IUCN-wide changes (e.g. changes to corporate policies); and/or
- grievances from stakeholders have been received to which the risk owner cannot impartially and/or effectively respond.

If one or more of the above conditions are met, the risk should be escalated by the risk owner. When a risk is escalated, the risk owner must provide the receiving owner with complete information about the risk in order to enable the receiving owner to act appropriately. If and when escalation is urgent, it is acceptable to communicate escalation using phone or e-mail and update the risk register afterwards.

When a risk is escalated and accepted the ownership of the risk is also transferred to the receiving owner, meaning that it is now his/her responsibility to take action. However, it is important to note that the change of ownership will not take place until the receiving owner has confirmed that he/she accepts the ownership. A response to the request for risk transfer should be provided latest within 5 working days. The escalation of the risk and the change of ownership should be noted in the risk register.

If the receiving owner decides that the risk does not warrant escalation, it may be de-escalated (to the original risk owner or other suitable person). Any de-escalation of risks should be noted in the risk register along with the accompanying change of risk ownership.

As a general principle, escalation should follow the applicable organisational structure i.e. from project to country office to regional office and ultimately to the headquarters level.

Regular checking and/or surveillance will be carried out to make sure that treatments had the intended effect. It can be periodic or ad hoc and is done to see if: further action is needed; appropriate controls are in place; new uncertainties are emerging; and strategic changes to IUCN's risk landscape require senior management action. The results of monitoring and review should be recorded and reported as appropriate, and should also be used as an input to auditing, and reviews of the risk management framework.

6. Risk Management Committee

The Risk Management Committee is established at the corporate level to monitor IUCN risks and challenge, enquire, and support risk owners, primarily for Tier 1 risks. It is a sub-committee of the Leadership Team. It reports to the Leadership Team on a semi-annual basis and when so requested.

The Committee is chaired by the Director General with membership from Leadership Team. Other representatives, invited experts and other relevant roles may be invited to the Committee as needed. The main responsibilities of the Risk Management Committee are:







- Ensuring that the overall Enterprise Risk Management framework is effective, relevant and applied organisation-wide;
- Reviewing and analysing the aggregated risk register (and escalated risks) on a regular basis with the purpose of identifying strategic risks and issues which require the attention of Leadership Team, developing proposals for managing escalated issues/risks (including business continuity and disaster recovery).
- Twice a year, review and update the ERM Plan¹⁶.

The Risk Management Committee should convene at least semi-annually, but may also meet when requested by the Leadership Team. A full description of the roles and responsibilities of the Risk Management Committee can be found in [Annex 3](#).

In performing its duties, the Risk Management Committee is supported by the Planning, Monitoring, Evaluation and Risk Management Unit, which is responsible for implementing the enterprise risk management initiative. It is responsible for the corporate risk register and for aggregating and analysing risk registers and producing corporate-wide risk reports that are presented to the Risk Management Committee.

¹⁶ Format and content of such a plan is to be further refined by the Risk Management Committee. A possible example might be <https://static.tti.tamu.edu/tti.tamu.edu/documents/srr/srr-erm-plan.pdf>

Annex 1 IUCN Initial Risk Categories and Risk Universe

 STRATEGIC <i>goals of IUCN</i>	 FINANCIAL <i>safeguarding assets</i>	 OPERATIONAL <i>processes to achieve goals</i>	 COMPLIANCE <i>laws and regulations</i>	 REPUTATIONAL <i>public image</i>
<ul style="list-style-type: none"> • Vision, mandate • Member relations and stewardship • Donor relations and stewardship • Market dynamics • Brand value, innovation • Strategic planning & resource allocation • Performance management • Organizational structure • Communication & public relations • Corporate culture • Business continuity, disaster recovery plan • Corporate governance • Reform oversight • Antifraud/corruption • Ethical behaviour • ESMS • Risk control framework • Internal oversight 	<ul style="list-style-type: none"> • Financial planning, management and reporting • Financial information for decision-making • Proper accounting records meeting statutory obligations - Swiss • Financial contributions • Grant making • Budgeting • Extra budgetary funding • Donor fund management and reporting • Banking/cash management • Expenditures, credit card • Accounts receivable • Tax management • Capital investments • Investments • Insurance • Accounting systems – NAV • Policies & procedures 	<ul style="list-style-type: none"> • Programme planning, portfolio, alignment and reporting • Policies and procedures • Synergies Regions and HQ • Advocacy, outreach • Knowledge management • Programme delivery, quality • Monitoring & evaluation • Project management • Corporate services • HR/People management • Safety and security • Data and info. technology • Business intelligence • Business continuity, disaster recover action • Third-party management • Procurement, contracting • PPE, inventory control • Travel 	<ul style="list-style-type: none"> • Legal services • Contracts • Host country regulations • Intellectual property • Privacy • New regulations • Compliance – internal policies & procedures • Labour relations • Conflict of interest • Ethics programmes • Anti-fraud and anti-corruption programme • Conflict of interest programme 	<ul style="list-style-type: none"> • Public perception, support and reputation • Social media, TV, radio • Crisis & contingency management response
				 EXTERNAL <i>PESTLE risks</i> <ul style="list-style-type: none"> • Geopolitical • Economic trends • Social changes • Technology changes • Legal changes • Environmental • Corruption • Unique events e.g. pandemic, election

Annex 2 Likelihood and Impact Criteria Model

Likelihood Criteria

Likelihood	Rare 1	Unlikely 2	Possible 3	Likely 4	Almost Certain 5
Description ("the risk is expected to materialise....")	Every 5 years or less or very low chance (>20%) of materialising	Every 3-5 years or low chance (20% - 40%) of materialising	Every 1-3 years or chance of materialising between 40% - 60%	Once or twice a year or high chance of materialising (60% - 80%)	Several times a year or chance of materialising above 80%

Impact Criteria

Rating	Financial	Performance	Security and Safety	IUCN employees	Operations	Compliance	Reputation
Severe 5	>50% of applicable budget	More than 50% of the applicable and planned results/outcome affected and/or in jeopardy	Deaths (single or multiple)	<ul style="list-style-type: none"> Affects >75% of employees >25% employee turnover Low morale IUCN-wide 	Risk of permanent disruption in applicable operations	Major deviation from applicable rules and regulations	Negative reports/articles in several national, regional and/or international media for a period of a month or more, and/or strong criticism from key stakeholders
Major 4	21-50% of applicable budget	30-50% of the applicable and planned results/outcome affected and/or in jeopardy	Multiple people with serious long-term injury Intensive care	<ul style="list-style-type: none"> Affects >50% of employees >20% employee turnover Low morale within a single Region or at HQ 	Disruption in applicable operations for one month or longer	Significant deviation from applicable rules and regulations	Negative reports/articles in several national, regional and/or international media for a period of a week or more, and/or criticism from key stakeholders
Moderate 3	11-20% of applicable budget	20-30% of the applicable and planned results/outcome affected and/or in jeopardy	One person with serious long-term injury	<ul style="list-style-type: none"> Affects >30% of employees >15% of employee turnover Low morale within a single business unit 	Disruption in applicable operations 1-4 weeks	Moderate deviation from applicable rules and regulations	Negative reports/articles in national, regional and/or international media
Minor 2	5-10 % of applicable budget	5-20 % of the applicable and planned results/outcome affected and/or in jeopardy	Single or multiple minor injuries requiring hospital treatment	<ul style="list-style-type: none"> Affects >10 % employees <15% of employee turnover 	Disruption to applicable operations 2-7 days	Moderate deviation from applicable rules and regulations	Several negative comments from external stakeholders
Very Low 1	<5 % of applicable budget	Negligible/no impact on results/outcome	Single or multiple minor injury requiring first aid	<ul style="list-style-type: none"> Affects <5% of employees No impact on recruitment or retention 	Disruption to applicable operations for 1-2 days	Negligible deviation from applicable rules and regulations	Not applicable or limited impact

Annex 3 Terms of Reference - Risk Management Committee

Background

Enterprise risk management (ERM), including the strategic aspect of business continuity and disaster recovery (BCDR), are all integral parts of risk, and disciplines of effective managing for results. As IUCN moves towards programmes involving higher level of policy advice and system-wide transformational change, the achievement of programmatic results will increasingly depend on factors fully or partially beyond our control. These include risks which we must navigate and manage in cooperation with partners and other stakeholders. Capitalising on promising opportunities often requires the organization to take calculated risks. Being agile, responsive, and proactive is critical to our achievement of results.

IUCN's Enterprise Risk Management framework guides the conduct and application of ERM and defines roles and responsibilities. At the corporate level, a Risk Management Committee is chaired by the Director General to oversee the overall implementation, and use, of the framework in IUCN. The Risk Management Committee is a subcommittee of the Leadership Team (LT) and reports back to the LT on the framework on a semi-annual basis.

Duties and Responsibilities

In line with the relevant policy(ies), the Risk Management Committee is responsible for:

1. Reviewing and analysing corporate risks

Under this responsibility, the Committee will review, and deliberate risk management strategies and where necessary, proposed amendments or revised strategies. The Committee focuses on strategic corporate risks, Tier 1 risks, that are escalated to the Committee, while leaving the operational risks discussion in other respective forums.

a. Corporately identified risks

The Chair and the members of the Committee can bring to the table risks that are identified and need to be escalated to the Committee through the different corporate mechanisms, e.g.:

- Committees or working groups driving significant institutional risks related to organisational change and performance, including the top audit risks priorities;
- The Leadership Team, for risks related to context and environments where specific regional or country office(s) are operating;
- Groups dealing with crisis response, business continuity and disaster recovery (BCDR);
- The Safety and Security Focal Points for risks related to staff safety and security; and
- Other corporate mechanisms as relevant.

b. Analysis from aggregated risk registers

On a semi-annual basis, risks analysis from all risks entries in the aggregated risk registers should be presented to the Committee to scan for possible emerging risks and/or risks with increasing criticality that might require corporate level treatments. This analysis, when applicable might include the comparison between risks logged in the respective risk register and risks that materialized within the reporting period.

c. Escalated risks from regional and country offices

In line with the procedures for risk escalation, all risks that are escalated to the corporate level will be deliberated in the Committee meeting for decisions and action points.

2. Monitoring, reviewing and maintaining the overall risk framework

Under this responsibility, the Committee performs Monitoring & Review functions as well as, more generally, ensures the maintenance of the ERM framework itself in line with industry standards. In so doing, the Committee will continuously ensure the appropriateness of the risk criteria, analysis, treatment, and the framework itself.

In performing this responsibility, the Committee will:

- ensure that relevant guidance and other supporting material is updated;
- recommend changes in the ERM Policy and other relevant policies, in line with the level of maturity of the organisations' systems and processes;
- ensure risk registers at all levels of the Secretariat are fully operational, standardised and integrated;
- ensure consistency in reporting, including by providing templates and other relevant guidance for reports such as the "Summary risk reports" (to be completed by LT members) and the "ERM Plan¹⁷" (to be prepared by the Head, PMER);
- develop, facilitates and grows a network of in-house experts in risk management;
- build and disseminate knowledge, including by promoting ways for capturing, reviewing lessons learned and best practices;
- ensure training of staff.

3. Management arrangement

The Committee is a sub-committee to the Leadership Team. It serves as the main platform to identify, assess, develop treatment and monitor risks at the corporate level. It reports back to the Director General and LT on a semi-annual basis.

On an ad-hoc basis, the Committee might invite other staff to sit in the risk committee meeting to deliberate on specific issues. This might include:

- a. Risk owner of specific corporate risk entries;
- b. Line manager of specific unit;
- c. Expert or resource persons on a particular issue;
- d. Other staff as necessary.

4. Committee meetings

The Committee meets on semi-annual basis. On an ad-hoc basis, the Chair of the Risk Management Committee can also call for a committee meeting for immediate deliberation of an urgent risk issues. The standing agenda for the Committee meeting is as follow:

¹⁷ An example of an ERM Plan is provided by Texas A&M Transportation Institute (TTI), 2016 at <https://static.tti.tamu.edu/tti.tamu.edu/documents/srr/srr-erm-plan.pdf>. This might serve as a possible template.

- a. Review the effectiveness of the Enterprise Risk Management framework implementation (including the policies, procedures, learning and other tools);
- b. Review of the Leadership Team decisions and mechanisms;
- c. Review of the aggregated risk registers;
- d. Review of the corporate risk register (including monitoring of the risk treatments);
- e. Any other business.

5. Risk committee secretariat

The Risk Management Committee is serviced by the Planning, Monitoring, Evaluation and Risk Management Unit to assist the Chair and Committee members in effective and efficient management of committee meetings. This includes:

- a. Preparing agenda and background materials for Committee meetings;
- b. Record and present escalated risks for Committee deliberations;
- c. Ensure proper documentation of Committee decisions; and
- d. Any other tasks as assigned by the Chair of the Committee.

*
* *

IUCN RISK APPETITE STATEMENT

Draft, April 2018

Overall Risk Appetite Statement (Preamble)

Risk appetite is an expression of the type and amount of risk that IUCN is prepared to take. It promotes consistent, 'risk-informed' decision-making aligned with strategic aims and also supports robust corporate governance by setting clear risk-taking boundaries. IUCN works on the principle of subsidiarity¹ which is demonstrated through adherence to centrally issued and institution-wide policies, reinforced through a carefully crafted Delegation of Authority and operationalized through effective leadership at all levels of the organization. IUCN recognizes that risk appetite is a statement of aspiration (where we want to be) while risk tolerance is a statement of fact (where we currently are). Hence, it is also important to have good understanding of IUCN's risk tolerance within our specified categories of risks. IUCN's risk appetite represents a conscious assessment of potential and actual environmental obstacles as we collectively pursue and accomplish our strategic objectives.

Strategic Risks

In keeping with our Mission Statement, IUCN's strategic planning process aims to ensure that finances and operations are sustainable and adequately support and develop our programmatic objectives. The risk management process is supported by the principle that the Leadership Team must focus upon those risks capable of undermining the long-term viability of the Union or doing harm to our reputation. As part of the IUCN risk appetite framework, the Council reviews target risk appetite levels and reflects on whether decision-making behaviour over the past year have aligned with these targets. The Leadership Team will annually review and confirm that behaviour over the past year remain relevant and aligned with a **moderate** risk appetite.

Financial Risks

IUCN must remain financially sustainable to continue to serve its purpose and achieve its vision and mission. Acceptance of some risk is often necessary to capture and capitalize upon opportunities when they emerge however, we must also meticulously mitigate the potential of financial risk by ensuring that our collective efforts and activities are efficient, properly aligned, adhere to IUCN's values and consistent with internationally accepted standards. IUCN has a **low to moderate** risk appetite for incurring financial deficits across its operations worldwide. IUCN has a **moderate** risk appetite for exploring new avenues to diversify revenue streams through partnerships with non-traditional partners and donors.

¹ Subsidiarity is an organizing principle that matters ought to be handled by the smallest, lowest or least centralized competent authority. (Oxford English Dictionary).

Operational Risks

IUCN must have comprehensive operational systems and practices that support the achievement of its strategic objectives. IUCN implements its strategic objectives through a diverse and large global and regional programme and project portfolio. The Union applies programme and project management standards rigorously and has a **moderate to high** risk appetite for accepting difficult projects if aligned with our strengths and strategic priorities. IUCN places importance on a culture of equality, diversity, dignity and respect, as well as the health, safety and development of staff. IUCN has a **low** risk appetite for deviation from its standards.

Compliance Risks

IUCN will comply with relevant statutory and policy requirements in all locations where we operate. We will achieve this through strong institutional governance and management which will shape the Union's culture for compliance, ethical conduct and living our values. We have **zero appetite** for misconduct, fraud, harassment or discrimination and non-compliance behaviour that undermines the integrity of IUCN.

Reputational Risks

IUCN will avoid actions that could negatively impact our brand image, as we have a **low risk** appetite for reputational risk. As such, IUCN's business practices and policies are designed to ensure the Union's reputation is safeguarded at all times. IUCN will strive to communicate clearly, timely and with the highest degree of transparency to ensure our key stakeholders are appropriately and expeditiously informed.

External Risks

IUCN works in a dynamically evolving external environment context with rapidly changing geopolitical, socio-economic and technological setting. IUCN must maintain the capacity to effectively adapt its programs and work structures to efficiently and timely respond to changes in the external environment where we operate. The Union has a **low to moderate** appetite for external risk. IUCN will proactively manage external risks through sound policy decisions, purposeful actions and demand-oriented programmes which are culturally, geographically and socio-economically relevant to the operational environment. IUCN will be flexible and exercise discretion including using the precautionary principle in responding to political, legislative, social, economic and technological changes. IUCN will periodically conduct horizon scanning to identify any latent and emergent risks.

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IUCN Value Proposition

IUCN Council May 2018

IUCN informs, influences, and inspires nature-based solutions to global challenges

- Engaging its global, unique and diverse membership and reach
- Building credible and trusted science, knowledge and thought leadership
- Developing and promoting global standards, laws, policies and communities of best practice, and
- Convening and establishing partnerships for solutions to global challenges

That Council notes the following text for consideration in the drafting of the revised IUCN Membership strategy, in reference to IUCN's value to members:

IUCN provides a global leadership role for nature conservation and sustainable development by

- engaging its global, unique and diverse membership and reach
- building and deploying credible and trusted science, knowledge and thought leadership
- developing and promoting global standards, laws, governance, policies and the networks to share and implement best practice, and
- convening and establishing partnerships for solutions to global challenges

IUCN informs, influences, and inspires nature-based solutions to global challenges

Council strategic priorities

IUCN Council May 2018

How to frame strategic priorities?

A possible, condensed, set of generic priorities:

Council strategic priority

TO LEAD - strengthening IUCN's role and profile as a global leader in nature conservation and an agent of change, shaping and adapting to a changing world

TO DELIVER - overseeing the Union's performance and effective implementation of the IUCN Work Programme 2017-2020 and the One Programme approach

TO THRIVE – helping to ensure the Union is well resourced

Feedback at last Council

- These are not exciting, not strategic and reflect business as usual
- Should be more specific, and
- Shape the Union for the future – with two elements: the kind of union we want to be, and two programmatic priorities.

Priorities – as a legacy of Council?

- *‘achieve transformational change by the end of the current term the priorities should be narrowed down to 2 or 3 achievable deliverables’ (minutes from Council 93)*

1 thought:

- Should not sit outside (or too far outside) the 2017-2020 Quadrennial Work Program and its 30 Targets, and existing IUCN policy

Possible priorities as a legacy of Council?

- Finalisation and endorsement by X states of the Global Pact for the Environment
- IPO membership – Target of X new members
- Commitments to delivering the 30% of the necessary carbon mitigation (for 1.5C warming) through nature based solutions
- Ambitious post 2020 biodiversity targets
- Global recognition of the significant impacts on biodiversity from migration and conflict

Possible priorities as a legacy of Council?

- Ecosystem protection and restoration embedded in global food and water security policies
- A global commitment to reduce plastic use, plastic waste and marine debris
- A flagship report on nature and human rights
- A partnership with WHO to articulate and promote nature based solutions that improve human health and wellbeing
- A shift in focus in the IUCN relationship with the corporate sector from risk management to exploring opportunities (affiliate membership?)
- Others...?

Discussion?

- R44 states Council will approve its strategic priorities at its second meeting following the WCC (actually C92)
- Priorities must be deliverable (in 2 years)

Areas for improvement of IUCN's governance

Introduction

At its 69th Meeting on 15 May 2017, the Bureau of the IUCN Council established a small group chaired by Jennifer Mohamed-Katerere, Chair of Council' Governance and Constituency Committee (GCC) with Antonio Benjamin (co-chair), Chair of the IUCN World Commission on Environmental Law and the support of Sandrine Friedli Cela, IUCN Legal Adviser and Luc De Wever, Secretary to Council, with the purpose of identifying areas for further improvement of IUCN's governance beyond the reforms approved by the 2016 Congress and the "Enhanced practices and reforms of IUCN's governance" approved by Council in April 2016. ([summary minutes of the 69th meeting of the Bureau](#))

The group was requested to report to the Bureau in November 2017 with its findings, following which the Bureau would recommend to Council, for each of the reforms identified, a process with timeline leading to the formulation of concrete proposals including, where required, proposed amendments to the Statutes, Rules and/or Regulations and any other instruments that may be considered necessary.

The Bureau Working Group presented the results of its work to the 73rd meeting of the Bureau ([document B/73/5.3, 14 November 2017](#)) and the 93rd Council meeting ([document C/93/GCC/1.1, 18 November 2017](#)).

The next steps presented to Council ([draft summary minutes of the 93rd Council meeting](#)) are as follows:

1. Invite Council members and former Council members (2012-2016 Council) and other individuals to share their experience and identify issues.
2. Elaborate a timeline and process for concrete proposals, including proposed amendments to Statutes, Rules and Regulations in time for Council's consideration in April 2018 – particularly for time sensitive reforms.
3. Begin work on agreed items following this Council meeting (e.g. motions process) and other issues that will be agreed to at the 94th Council Meeting.
4. Continue to develop the list on an on-going basis.

During the 3rd and 4th meetings of the Working Groups held, respectively on 26 January and 10 April 2018, the table below was updated to take into account the comments made during the Bureau and Council meeting in November 2017 as well as those from 12 members of the Council 2012-16 who kindly responded to the Co-Chairs' invitation.

At its 74th meeting (28 April 2018), the Bureau discussed and revised the Table for the purpose of presenting it, together with a proposal to amend Regulation 45*bis* (Council Global Focal Persons), to the GCC on 30 April 2018 under agenda item GCC13/1.1 and, with the GCC's recommendations, to Council for endorsement.

Areas for improvement	Required outcome	Timeline	Sources	Action required
A - Strategic issues – requiring a proactive approach by designing solutions for mid-to-long-term change in the way IUCN achieves its mission ¹ and vision ²				
A.1 Study whether/how local and regional authorities can be included in IUCN (implementation of WCC-2016-Res-003) <i>Currently under consideration in GCC's Pre-Working Group</i>	IUCN Congress 2020 decision, possibly including amendments to the Statutes	Council proposal by April 2019 taking into account the results of the Working Group referred to in WCC-2016-Res-003, for consultation during Regional Conservation Forums (RCF)	WCC-2016-Res-003 GCC report to C92 p.2 GCC report to C93 p.8	GCC recommendation to Council by C96 (April 2019) prepared by the Working Group referred to in WCC-2016-Res-003
A.2 (previously B.4) Enable Council to appoint Council global focal persons as and when required, whether it be in a leadership or (thematic) Programme related role, depending on their ToR	Council amends Regulation 45bis	To be approved by Council at 2 consecutive meetings (C94 and C95)	Summary minutes C92 p.7	Bureau recommendation to C94
B - Enhanced practices and reforms of IUCN's governance – short solutions to practical organizational challenges based on experience and the desire to increase effectiveness and efficiency				
Structural issues				
B.1 Modify the terminology of the Statutes to make it clear – and avoid any possible confusion - that 1) “Regional Councillors” have, in the first place, global responsibilities; 2) the Chairs of the Commissions are full members of the Council and 3) Article 62 of the Statutes applies to all Council members.	IUCN membership decision to amend the Statutes	- Council approval of proposal by Oct 2018 for approval by e-vote IUCN Members prior to Call for nominations	Proposal tabled at C/92 Retreat	The WG transmits its recommendation prepared with the support of the Legal Adviser on the drafting of amendments directly to Council at C95
B.2 Clarify, modify or develop the requirements for establishing National, Regional and Interregional Committees (IRC) acknowledging that the establishment of IRC may have political as well as	Clarity regarding the conditions for establishing National, Regional and Interregional Committees	Council clarifies or modifies Council decision C/69/54 (March 2008) or amends the Regulations	Document C/93/2.7.1.1	GCC recommendation to C96 (April 2019)

¹ The IUCN Programme 2017-20 states the mission of IUCN by reference to Article 2 of the IUCN Statutes: “The objectives of IUCN shall be 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.”

² The IUCN Programme defines the vision of IUCN as “a just world that values and conserves nature”.

Areas for improvement	Required outcome	Timeline	Sources	Action required
ecological motives. <i>Aspects of IRC are on the agenda of GCC at C94</i>		by 2019		
B.3 Revise and make more efficient the Commissions' membership renewal process at the beginning of each quadrennium	Possible amendments to the Statutes or Regulations to clarify that Commission membership is renewed every 4 years without the need to "abolish" the Commissions	Council approval of proposal by Oct 2018 for approval by e-vote IUCN Members prior to Call for nominations	Commission Chairs	GCC recommendation to Council based on a proposal by the Chairs of the IUCN Commissions.
B.6 (previously C.2) Clarify issues that have been raised regarding National and Regional Committees : e.g. a. The status of International NGO in National/Regional Committees other than the State in which they have their seat b. The status of Commission members in National and Regional Committees	a and b: Legal interpretation; possibly adapt Statutes / Regulations according to interpretation; or modify the law	a. Council decision by April 2019 on appropriate amendment to Statutes/ Regulations b. Council to decide at the time it deals with the substantive question	a. Decision C/93/15 b. Decision C/93/18 par 3 and GCC report to C93 p.5	GCC recommendation to Council
Effective functioning				
B.5 Further improve the motions process based on experience / feedback from the 2016 motions process <i>GCC task force updating the motions process is considering further improvements to the motions process incl. amendments to Statutes, Rules of Procedure and Regulations, the online system for discussion and vote on motions, the timeline of the motions process and the Guidance Notes for IUCN Members on the motions process</i>	Amendments to Rules 48 to 73 and relevant other instruments/systems	Council proposal to IUCN Members by Oct 2018 for approval by e-vote in early 2019 in time to apply to the motions process 2019-20	WCC-2016-Dec-113 and GCC report to C93 p.8-9	GCC recommendation to C95 prepared by the GCC's Task Force updating the motions process
B.9 Secretariat to maintain and make accessible to Council members an updated calendar with major events (co)organized/sponsored by IUCN (HQ and the regions) or to which IUCN contributes (e.g. with speakers), enabling Council members to be informed and consider meaningful participation.	Effective engagement of Council members in the regions	By C95 (October 2018)	Bureau WG	Implementation by the DG based on her commitment made during B74 (April 2018).

Areas for improvement	Required outcome	Timeline	Sources	Action required
Transparency, independence and integrity				
B.7 Guidance to IUCN's National, Regional and Interregional Committees to ensure their transparency, independence and integrity, incl. brand coherence and consistency when they operate outside their territory; effective implementation of the Operational Guidance for National/Regional Committees; and effective Council oversight TENTATIVE WORDING - PENDING CLARIFICATION BY DG AND CHAIR GCC	Modification of Operational Guidance for National/Regional Committees approved by Council or other actions, as appropriate	Council decision by end 2019, following consultation of National/Regional Committees regarding modifications to the Operational Guidance	Minutes C92 p. 5 Minutes B73 p. 4	GCC recommendation to C96 (April 2019)
B.8 Improving the scientific and professional independence, transparency and integrity of the work carried out by the Commissions, the Secretariat and Council members and avoid potential conflicts of interest <i>GCC task force updating the motions process is considering the independence of "IUCN's technical role" in the context of the motions process</i>	Certain aspects could be addressed by amending relevant Codes of Conduct, other aspects by amending the Statutes	Any amendment to the Statutes: Council proposal to IUCN Congress 2020, by early 2020 or by April 2019 if information / consultation is required during RCF	Regarding independence of "IUCN's technical role" in the context of the motions process: cf. minutes C91 and C93 (p.4), and document C/93/GCC/3.2.1	GCC recommendation to C96 (April 2019) prepared by the GCC's Task Force updating the motions process
Oversight				
B.10 Clarify Council role in the appointment by DG of senior positions in the Secretariat (compliance with the principles established in the Staff Rules).	Update the Staff Rules as required	Council approval of revised Staff Rules by C95 (October 2018)	Input from Council members 2012-16	Proposed wording by the DG for inclusion in the Staff Rules – for consideration of FAC at C95
B.11 Council to access and receive the information required enabling it to effectively exercise its oversight and strategic direction roles, in all areas including finance, HR and One Programme approach.	The Strategic Planning and Reporting Framework (Annex 2 to the Council Handbook) is adjusted as required	Bureau decision by end 2018 following the discussion in C95 of the interim results of the external review of IUCN's governance	73 rd Bureau meeting	GCC recommendation to the Bureau at C95
C - Corrections, clarifications, guidelines or procedures required to implement specific provisions of the Statutes, Rules and Regulations				
C.1 Issues related to election procedures : e.g. a. Elaboration of detailed procedures to harmonize	a. Council approval of procedures and / or	Procedures, interpretation and	a. Minutes B/69 p.1 b. Correspondence	GCC recommendation to Council by C96 (April

Areas for improvement	Required outcome	Timeline	Sources	Action required
<p>the nominations process across all Commissions in order to give full effect to Regulation 30<i>bis</i></p> <p>b. Examine possible solutions to avoid that some constituencies are excluded because IUCN structures the distribution of Regional Councillor seats by regions while it also operates through national structures</p> <p>c. For the 1st time in 22 years, North Africa is not represented on the Council</p>	<p>amendment to Regulation 30<i>bis</i></p> <p>b. and c : Legal interpretation; possibly adapt Statutes / Regulations accordingly or modify the law</p>	<p>(possible) amendments to be effective before the Call for nominations (mid-2019)</p>	<p>between the Election Officer, the DG, the Chair of the Caribbean Regional Committee and election candidates (prior to 2016 WCC)</p> <p>c. Idem</p>	<p>2019) or C95 (Oct 2018 where amendments to Regulations are required)</p>
<p>C.2 Clarify Regulation 94 regarding the procedures for electronic votes of the IUCN Members based on experience: e.g.</p> <p>a. Specify whether quorum of Article 36 Statutes is achieved when IUCN Members receive the URL;</p> <p>b. Specify whether not responding to a voting question will be regarded as having abstained in the same way as clicking the “abstention” button.</p> <p>c. Clarify whether abstentions are counted as part of the vote</p>	<p>Clarify voting procedures and guidelines; eventually amend Regulation 94</p>	<p>Council decision by October 2018 (prior to the e-vote on amendments to the Rules regarding the motions process in early 2019)</p>	<p>Rulings by the Legal Adviser on issues raised in the “Guidance note on electronic voting” for votes held in 2015-16</p>	<p>GCC recommendation to C95 (Oct 2018) prepared with the support of the Legal Adviser on the drafting of amendments</p>
<p>C.3 Clarify the provisions regarding membership admission and rights, such as:</p> <p>a. Inconsistency between Article 12 (a) (iii) (all Members) and Regulation 14 (Members eligible to vote)</p> <p>b. Add a provision in the Statutes to explain the meaning of “Member eligible to vote”</p> <p>c. Should Regulation 26 also apply to State Members?</p> <p>d. Clarify conditions for change of membership category or situations in which legal status of Members change (incl. whether Members becoming (semi) for-profit can remain IUCN Member)</p>	<p>a, b, c and d: Legal interpretation; possibly adapt Statutes / Regulations accordingly or modify the law</p>	<p>Council decision by 2019</p>	<p>a, b, c and d: experience UDG</p>	<p>GCC recommendation to Council by C96 (April 2019) prepared by the Secretariat (UDG)</p>
<p>C.5 (previously B.6) Provide a harmonized process for filling a vacancy for IUCN Treasurer, Commission Chairs and Regional Councillors</p>	<p>Procedure and / or amendments to the Regulations (incl. notice</p>	<p>To be approved by Council by end 2019 (in the case of amendments</p>	<p>Bureau</p>	<p>GCC recommendation to Council by end 2019</p>

Areas for improvement	Required outcome	Timeline	Sources	Action required
(taking into account decision C/85/27 – procedure for filling a vacancy of Regional Councillor)	period for giving resignation)	to the Regulations: approval by Council at 2 consecutive sessions)		

<u>IUCN Council Global Focal Person(s)</u>	With the support of the Bureau (74th meeting, 28 April 2018), the Bureau's Working Group identifying improvements to IUCN's governance presents to Council the following proposal to amend Regulation 45bis:
<p>Background</p> <p>The 92nd Council meeting (February 2017) considered whether to appoint a gender focal person (Jesca Eriyo Osuna was proposed by the President and supported by Council) in addition to the "IUCN Council Global Oceans Focal Person" referred to in Regulation 45bis, and requested the PPC to examine all aspects including ToR and the question whether to amend Regulation 45bis in order to refer more generically to Council global focal persons before further appointments of Council global focal persons are being made.</p> <p>During the 93rd Council meeting (November 2017), the PPC Chair reported that the Bureau Working Group in improvements to IUCN's governance was studying the question of making Regulation 45bis more generic. In the meantime, at the recommendation of the PPC, the 93rd Council appointed Peter Cochrane as the IUCN Council Global Oceans Focal Person and tasked him with the development of draft Terms of Reference, to be decided by PPC.</p> <p>The draft ToR for the IUCN Council Global Oceans Focal Person submitted to the PPC for decision during the 94th Council meeting (May 2018), provide the following mandate:</p> <ol style="list-style-type: none"> 1. to raise the profile and understanding of oceans issues in Council, and to help raise the profile of IUCN's work on oceans issues with key external stakeholders in close collaboration with Commissions and the Secretariat; 2. to help ensure that there is strong focus and coherent body of work on oceans issues across IUCN by liaising with the Secretariat and Commissions and bringing her/his perspective and advice to the PPC and Council including relevant policy and resourcing implications; 3. to report to Council through PPC (as part of the presentation of the PPC report to Council). 	<p>Regulation 45bis</p> <p>Council shall<u>may</u> appoint a<u>members</u> of Council as the<u>IUCN Council Oceans</u> Global Focal Persons, <u>for a period up to the end of the term for which s/he has been elected, with the purpose of:</u></p> <ol style="list-style-type: none"> (a) <u>increasing the understanding in Council on a specific matter and the inclusiveness of its deliberations;</u> (b) <u>contributing to raise the profile of IUCN's work with key stakeholders;</u> (c) <u>promoting a strong focus and coherent body of work across IUCN on the issue concerned by liaising with the Secretariat, the Commissions and Members; and</u> (d) <u>bringing her/his perspective and advice to the Council trough the relevant committee of the Council, including policy, governance, and resourcing implications.</u>



94th Meeting of the IUCN Council, 29 April - 2 May 2018

FINANCE and AUDIT COMMITTEE (FAC)

Meeting of Sunday 29 April 2018 and Monday 30 April 2018
Held at IUCN, Holcim Think Tank A

Report to Council

FAC/1	<p>Approval of the agenda</p> <p>The FAC approved the agenda as presented with minor changes on the order of items.</p>	INF
FAC/2	<p>Review of minutes of previous meeting</p> <p>The FAC took note that most items on the action list were included in the current FAC agenda. The items which remain in progress relate to:</p> <ul style="list-style-type: none"> • Investment policy review and update to be presented at the next FAC now that the new Treasurer is in place • The Commission Support Unit which came into operation in January 2018 will work with Commission Chairs and the Global IS Group to progress on development of a new Commission Management Support system • The HR Staff Rules will be presented to FAC for approval at a later meeting 	INF
FAC/3	<p>Report from the Head of Oversight</p> <p><u>Purpose and background</u> The Head of Oversight (HoO) presented her report. She first provided an overview of the Oversight Unit architecture, summarising the services provided and how it fitted into the governance, risk management and internal control framework. She then provided an update on the activities of the Oversight Unit, including information on investigations statistics and cases, IUCN's fraud prevention programme and the status of internal audit recommendations. She drew the attention of the FAC to an investigation which was currently on-going in one of IUCN's regional offices which involved misreporting and non-compliance with the IUCN Time Management Policy.</p> <p><u>Summary of the discussion</u> The FAC discussed the current ongoing investigation and raised the following points: Members noted that the investigation was on-going and that</p>	INF

it was not possible to draw conclusions at this stage. They, however, emphasised that it is important to understand the root causes of the case and to assess whether similar situations could be occurring in other offices, and hence asked the Head of Oversight to assess the accounting system or software used as well as the internal control system in place and also urged the Secretariat to take proactive action to reduce the risk of similar incidents from occurring across the Union.

The DG informed the FAC that the Secretariat was in the process of implementing a time management system (expected to be “live” in all locations by the end of 2018) and that this would reduce the risk of non-compliance with the time management policy.

The Chair of the FAC emphasised the importance of disseminating the Anti-Fraud Policy and building awareness to all IUCN Staff.

The HoO replied that the Secretariat was building a fraud prevention programme, including an e-learning fraud prevention awareness training course that had been piloted with the Leadership Team in February 2018 and it would be rolled out to all staff members during the course of 2018.

The Treasurer noted the wide scope of work of the Oversight Unit and asked how it was resourced and whether donor expectations were being met.

The HoO responded that donors have expectations that IUCN meets standards of good risk management and has solid fraud prevention mechanisms in place and that the Oversight Unit is supporting management in its efforts to continue to develop these systems. In terms of resources, she replied that this was challenging given IUCN's complex operating environment and internal oversight coverage which includes the Ramsar Convention. One approach to begin to address the workload demand is to establish a roster of consultants who could be called upon to carry out investigations on short notice and for other assurance engagements. This would require a consultancy budget. In addition, rolling out management's control self-assessment approach to the regional level would also provide a broad entity-level of assurance to be relied upon.

Conclusion

The FAC *TOOK NOTE* of the report and the action that was being taken to improve IUCN's anti-fraud programme. The FAC asked the HoO to assess the root causes of the case

	<p>and to assess whether similar situations could be occurring in other offices, and hence asked the Head of Oversight to focus on the accounting system or software as well as the internal control system in place. FAC also urged the Secretariat to take proactive action to reduce the risk of similar incidents from occurring across the Union. FAC asked to be updated on the investigation currently in progress once it had been completed.</p>	
FAC/4	<p>Risk Management – review and approval of the risk management policy</p> <p><u><i>Purpose and background</i></u> The acting Head of Planning, Monitoring and Enterprise Risk Management presented the draft Enterprise Risk Management Policy including the draft Risk Appetite Statement.</p> <p>Through this Policy, IUCN commits to ensuring that Enterprise Risk Management practices are consistently applied to its processes and operations to drive effective and accountable decision making and management practices across the organisation.</p> <p>The Policy constitutes a first attempt at formalising Enterprise Risk Management and follows best practice of other organisations as well as relevant standards. It should be understood as starting point. As the organisation's understanding and management of risk matures, and as best practice evolves, the Policy is likely to require updating.</p> <p>A draft Risk Appetite Statement has also been developed. (Document C/94/FAC64/4/2). This formalises the level of risk the organisation is willing to take related to its business objectives.</p> <p><u><i>Summary of the discussion</i></u></p> <p>FAC discussed this item noting the urgent need for an enterprise-wide risk management framework. Members expressed views that this policy and the accompanying risk appetite statement would help management in implementing risk management measures.</p> <p>FAC stated their role should focus on the strategic risks (e.g. funding model) and reputational risks, while taking a role for compliance risk. The Secretariat must work out how ownership of risk is cascaded down to those responsible. The ERM process is the responsibility of staff at all levels of</p>	DEC

	<p>the organisation.</p> <p>It was noted that several aspects of the policy will need closer attention and that during implementation some items may need further clarity.</p> <p>In respect of the risk the Risk Appetite Statement, the FAC was comfortable with the level of risks that IUCN was prepared to take. In respect of “moderate to high” for accepting difficult projects aligned with strengths and strategic priorities, members questioned whether there should be a limit in terms of numbers of how many high-risk projects the Union would be ready to undertake with a mechanism to be developed to accept high risk projects.</p> <p>The Secretariat assured the FAC that high risk projects would only be undertaken after a rigorous risk assessment process and it was not the intention to develop a portfolio of high risk projects but that it should be possible to take on such projects if they were aligned with IUCN’s strategic priorities and strengths. The Secretariat also confirmed that there will be regular reporting to both the FAC and to the Council and that any material items arising in the course of implementing this policy will be adequately reported.</p> <p>FAC members agreed to recommend approval of the ERM policy and the Risk Appetite statement and that the policy will be subject to review as risks evolve and as circumstance changes.</p> <p><u>Conclusion</u></p> <p>The FAC recommends Council approves the Risk Management Policy, and the Risk Appetite Statement, as presented.</p> <div style="background-color: yellow; padding: 5px;"> <p>DRAFT COUNCIL DECISION</p> <p>Council, <i>on the recommendation of</i> the Finance and Audit Committee, approves:</p> <ol style="list-style-type: none"> 1. the Enterprise Risk Management Policy; and 2. the Risk Appetite Statement; </div>	
FAC/5	<p>Report of the Legal Adviser <u>Purpose and background</u> The Legal Advisor presented an overview of the existing</p>	INF

	<p>legal actions against or by IUCN, including statistics and a summary description of major cases.</p> <p><u>Summary of the discussion</u></p> <p>The FAC asked if for the dormant cases they would be time barred after a certain period. The Legal Advisor would raise this again with the lawyers responsible for the cases. For the dormant cases, there is immunity of jurisdiction and courts do not want to make decision in these cases.</p> <p><u>Conclusion</u></p> <p>The Finance and Audit Committee TOOK NOTE of the update on legal issues pertaining to legal actions by and against IUCN relevant to FAC.</p>	
FAC/6	<p>Council Travel</p> <p><u>Purpose and background</u></p> <p>The FAC decided in Nov 2017, and the Council approved, to create a sub-committee to study and analyse a request for an additional budget item for Councillors' travel.</p> <p>The sub-committee, consisting of 3 FAC members, 2 Secretariat members and assisted by the Legal Adviser undertook benchmarking studies with similar organisations. They also considered IUCN statutes, Council Handbook, the Code of Conduct for Councillors and Terms of Reference of Regional councillors.</p> <p>The taskforce produced its findings in a report (FAC.64.6) with 5 options for consideration by FAC.</p> <p><u>Summary of the discussion</u></p> <p>Noting Articles 63 and 72 of the IUCN statutes and given the budgetary constraints faced by IUCN the sub-committee recommended to the FAC the adoption of option 5 in its report and that a budget be established for 2019 to cover a limited number of trips for regional councillors (ordinarily one trip annually for each regional councillor).</p> <p>The Management of this will involve the Regional Councillor and Regional Director agreeing by consensus on the trips to be undertaken, with approval by the Head of the Governance Unit. The budget would be administered by IUCN Regional Directors with oversight from the Governance Unit.</p>	DEC

	<p>Eligible trips would be limited to:</p> <ol style="list-style-type: none"> 1. Attendance at national and regional committee meetings 2. Trips to deliver specific mutually agreed targets agreed between the Regional Councillor and the Regional Director (e.g. membership of new states, state agencies or other revenue generation) <p>The FAC discussed the level of budget that would be required.</p> <p>The Secretariat noted that the Director General would include a budget line in the 2019 budget and that this would be based on an assessment of costs.</p> <p><u>Conclusion</u></p> <p>The FAC recommends to Council to approve the provision of a budget for the travel of IUCN regional councillors.</p> <div style="background-color: yellow; padding: 5px;"> <p>DRAFT COUNCIL DECISION Council, <i>on the recommendation of the Finance and Audit Committee</i>, approves the provision of a budget for Councillors' travel, noting:</p> <ol style="list-style-type: none"> 1. the Management of this will involve the Regional Councillor and Regional Director agreeing by consensus on the trips to be undertaken, with approval by the Head of the Governance Unit. 2. eligibility would be limited to: <ol style="list-style-type: none"> a) Attendance at national and regional committee meetings, and b) Trips to deliver specific mutually agreed targets agreed between the Regional Councillor and the Regional Director; 3. the budget line would be used to supplement other funding opportunities; <p>and requests the Director General to include provision in IUCN Budget starting form 2019.</p> </div>	
FAC/7	<p>Financial results 2017</p> <p><u>Purpose and background</u></p> <p>In accordance with the statutes (46.g), Council (or Bureau acting on behalf of Council) is required to approve the audited financial statements, though final approval rests with Congress (20.d)</p> <p>The overall result for the year is a surplus of CHF 1.1m before transfers to designated reserves. After transfer to designated reserves, the result was a small deficit of CHF</p>	DEC

0.1m vs. an approved budget deficit of CHF 2.0m.

The positive result was driven by 4 main factors: framework income being above budget, other income being above budget (partly a result of new Patrons for Nature), and exceptional costs related to the change process being below budget, particularly redundancy costs as well as saving from commissions operating funds.

The transfer to designated reserves includes the balance on the six Commission Operating Funds. This would allow Commissions to better manage their funds and allow them to carry forward funds for specific events or purposes, subject to compliance with the Commission Financial Rules. The balance on the systems development allocation that was given in 2017 to support the change management process would also be carried forward as several of the systems initiatives were still in progress.

In line with a Council decision on membership rescission timeframe, a change in accounting policy regarding provisions for membership dues in arrears is proposed as shown in the 2017 column in the table below:

	<u>2017</u>	<u>2016</u>
Four years or more	100%	100%
Three years	100%	60%
Two years	67%	40%
One year	33%	20%

This reflects a change in the rescission procedure which is now intended to be a biannual process.

The auditors presented a non-qualified audit report and said that they are ready to sign their audit report following approval by Council. In respect of controls, they noted that improvements continued to be made and highlighted the need for further strengthening internal controls as well as IT General controls and that they will look closely into the root cause that has led to misreporting and noncompliance with time management policy in some instances. They also noted that as required by Swiss Law, IUCN has put measures in place to comply with the Financial Market Infrastructure Act (FMIA) –Regulation of derivatives trading as a small non-financial counterparty (NFC)

Summary of the discussion

	<p>The FAC commended the Secretariat on the overall result and the noticeable improvements. The change on accepting to roll over commission balances at the end of each calendar year to the next year within an inter-sessional period was well received. The FAC noted that the Commission Financial Rules apply and any use outside these rules would require the approval of the FAC/Council.</p> <p>FAC asked about the state of internal control system and what improvements are still needed. Secretariat informed FAC that an improved internal control system is already in place and rolling out since June.</p> <p>FAC noted that the level of project implementation for 2017 was 79% of budget and asked about the reasons for project implementation lags and questioned what plans were in place to strengthen the project implementation rate and reduce the project budget optimism. The Secretariat stated there would be more rigour at the annual budgeting stage as some offices and programs are overly optimistic and also to scrutinise the projects under development in more depth. Additionally, there is greater tracking with the introduction of the management scorecard with one of the targets being delivery rate on project management</p> <p>The auditors, noting the current complexity of accounting for implementing partners' expenditure, proposed working with the Secretariat to find a solution to the issue, while ensuring compliance with the Swiss Law.</p> <p><u>Conclusion</u></p> <p>The FAC recommends to Council to approve the 2017 Financial Statements and the Report of the Auditors as presented.</p> <div style="background-color: yellow; padding: 5px;"> <p>DRAFT COUNCIL DECISION</p> <p>Council, on the proposal of the Director General and the recommendation of the Finance and Audit Committee, approves the Audited Financial Statements for 2017, noting that final approval rests with the 2020 World Conservation Congress as provided under Article 20 (d) of the Statutes.</p> </div>	
FAC/8	<p>Investment Update</p> <p>Part 1: Investment performance update</p>	DEC

Purpose and background

The CFO presented the key investment performance statistics from inception in 2103 to 31 March 2018.

The return for 2017 was 1.97% but for the first 3 months of 2018 it has been minus ½ percent, due to a weak performance from bonds as interest rates have started to rise and also the weakness of the USD vs CHF, the USD weakened by 2% vs CHF from end December to end March 2018.

FAC was asked to review and approve the small change to the Policy on the use of derivatives. At the last meeting the IUCN Council approved IUCN's Policy on the use of derivatives, this was required by the new Swiss Law, FMIA. 2017 was the first year that this policy was audited and the auditors, PWC, recommended some small changes to the policy to ensure the policy's completeness and full compliance with the Swiss Law. The changes suggested were to add a paragraph regarding the threshold and IUCN's actual classification (see highlighted text in the policy attached as an appendix)

Summary of the discussion

The FAC noted that alternative investment strategies should be looked at with the aim of improving the performance of the investment portfolio without significantly exposing IUCN to higher risks.

The FAC noted that the investment policy should be reviewed and updated every 3 years and is due for review, especially now that the Treasurer is in place. FAC discussed the way forward in updating the Investment and Cash Management policy. The Chair proposed forming a small group to review and potentially revise the policy.

Conclusion

The FAC decided to form a sub-committee comprised of the FAC Chair, the two Co-Chairs, the Treasurer and CFO to review the investment policy and present a revised draft policy to next FAC meeting in October 2018 for approval. A decision would then be taken on whether the mandate given to IUCN's investment managers should be adapted.

DRAFT COUNCIL DECISION

Council, on the recommendation of the Finance and Audit

	Committee, approves the amendment to the Policy and Procedure on Forward Contracts for Hedging	
FAC/9	<p>Q1 Financial results to date and forecast 2018</p> <p><u>Purpose and background</u></p> <p>The CFO presented the Q1 2018 financial results in order to update FAC on the latest financial situation.</p> <p>The result at the end of March 2018 was an operating deficit of CHF 0.4m.</p> <p>At the end of March 2018, actual project expenditure was at 48% of budget for the period. This is partly explained by the fact that reports for Q1 expenditure by Implementing Partners had not been received by end of March and is not included in the expenditure numbers. The secretariat will remain vigilant on this to ensure project expenditure is close to budget by the end of the year.</p> <p><u>Summary of the discussion</u></p> <p>The FAC noted that management needed to drive a culture of realistic project budgeting across the organisation.</p> <p>The Secretariat pointed out that the management score card includes an indicator related to project implementation and that this is likely to result in more realistic planning in the coming years.</p> <p><u>Conclusion</u></p> <p>The FAC <i>TOOK NOTE</i> of the results to end of March 2018.</p>	
FAC/10	<p>Resource mobilisation update</p> <p><u>Purpose and background</u></p> <p>The Director of the Strategic Partnerships Unit a.i. presented a report on resource mobilisation.</p> <p>All Framework agreements had been renewed for 2018 with the exception of Norway. Negotiations with Norway are at an advanced stage. USA ordinarily signs annual contracts close to the end of each calendar year. IUCN is liaising with the State Department and other contacts to ensure continued support through the appropriation accounts.</p> <p>IUCN restricted income continues to grow. The main donors</p>	INF

	<p>are now European Commission (25%), Germany (20%), Sweden, MAVA, USAID and SDC. Significant increases in multilateral funding from the Global Environment Facility (GEF) and the Green Climate Fund (GCF) are projected.</p> <p>The Patrons of Nature programme is growing. The target is to sign 4 patrons every year, providing additional unrestricted funds. Other initiatives include a bequest programme which is being developed and the IUCN online donation button which has been reactivated.</p> <p><u>Summary of the discussion</u></p> <p>FAC noted the efforts being made by the Secretariat to diversify sources of funding, particularly with the Patrons of Nature and the proposed Bequest Programme. FAC suggested that the Secretariat considers using intermediaries such as private banks to reach out to individuals of interest.</p> <p>FAC noted as IUCN increases its portfolio of re-granting to partners and moves to become more wholesale, IUCN should undertake a strategic view of IUCN branding, particularly in relation to projects we fund and others deliver.</p> <p>FAC encouraged the Secretariat to find a way to estimate the costs to deliver the 2017-2020 Programme so that resources mobilisation can be aligned and financial targets established for all components of the Union, in the spirit of the One Programme delivery model (Secretariat, Commissions, and Members). FAC noted the need to work with PPC on this issue to ensure that resource mobilisation is aligned with the 2021-2024 Programme.</p> <p><u>Conclusion</u></p> <p>The FAC <i>TOOK NOTE</i> of the report and welcomed the progress made in various areas of resource mobilisation.</p>	
FAC/11	<p>Membership Dues</p> <p><u>Purpose and background</u></p> <p>The purpose of the session was to update FAC on memberships due assessed and the method for the dues calculation.</p> <p>The Secretariat provided an update on membership dues. In 2018, membership due amounted to CHF 11.7 million with 1,298 members. There are 78 State Members who</p>	INF

	<p>contribute 78% of the dues amount, government agencies at 128 Members and 10% of income and national NGO with 921 Members and 8% of income.</p> <p>At the 2016 Congress, Congress approved the reassessment of dues for NGO Members. This process will require NGO members to provide updated financial data and is planned to be carried out in 2018-2019.</p> <p>The update on Members whose rights were rescinded by the 2016 Congress showed that out of the 161 rescinded Members, the majority have withdrawn post Congress.</p> <p>With the Council decision C/93/13 to hold electronic vote to rescind Members' rights biennially starting 2018, potentially 135 Members may be rescinded at the end of 2018.</p> <p><u>Summary of the discussion</u></p> <p>Acknowledging that membership dues is primarily a remit of the GCC and that FAC should be concerned with the budgetary consequence, FAC took note that;</p> <ol style="list-style-type: none"> 1. The sliding scales of membership dues may lead to unfavourable incentives to some Members who may opt to join at lower categories than their actual standing. For example; <ol style="list-style-type: none"> a) States may opt to be Government Agency Members as opposed to State Members to reduce their dues. b) Some Members may opt to be affiliate Members and pay a flat rate rather than be an NGO member where they may be required to pay a higher level of dues. 2. Using operational expenditure of member organizations to determine membership fees has inherent problems revolving around how different organizations define operational expenditure. <p>FAC will coordinate with GCC in preparation of the proposed membership strategy and possible changes to the membership dues structure. It was noted that the Secretariat will prepare the TORs for consideration by the joint working group of GCC and FAC to review the dues for 2021-2024.</p> <p><u>Conclusion</u></p> <p>The FAC <i>TOOK NOTE</i> of the report.</p>	
FAC/12	<p>General Data Protection Regulation</p> <p><u>Purpose and background</u></p>	INF

	<p>The Legal Adviser updated the FAC on the the requirements of General Data Protection Regulation (GDPR), how it impacts IUCN and actions being taken to ensure compliance. GDPR goes into effect on 25 May 2018.</p> <p>This EU regulation explains how personal data should be processed. GDPR brings significant changes to: extended territorial scope as it includes processing personal data of persons who are in the European Union, new and enhanced rights for individuals, increased regulatory powers and sanctions, transparency and express consent and mandatory data breach notification to authorities.</p> <p>IUCN is concerned by this because it processes personal data of EU residents e.g. staff, consultants, Commission members, WCC participants, Council members. Since most of this data is physically located in Switzerland, Swiss law on data protection (which is being aligned with the EU regulation) will be applicable when it becomes operational.</p> <p>The potential risks of not adhering to the GDPR include; regulatory, reputational, financial: € 20 Million maximum or 4% or company annual turnover (per case) and legal (claims).</p> <p><u>Summary of the discussion</u></p> <p>The Treasurer suggested that IUCN identify a person tasked with compliance monitoring to deal with all the compliance issues the Union faces, of which GDPR is one of them.</p> <p>The chair noted that GDPR is included as a risk in the Enterprise Risk Management framework.</p> <p><u>Conclusion</u></p> <p>The FAC TOOK NOTE of the update on actions being taken to ensure compliance with the GDPR.</p>	
FAC/13	<p>Update on information systems projects</p> <p><u>Purpose and background</u></p> <p>The Global Director for Information Systems presented a report covering achievements for 2017 and 2018 plans for the three areas of focus within the Group:</p> <p>a) ERP:</p>	INF

	<ul style="list-style-type: none"> • Upgrade from 2009 version to 2017 version planned for 2018 and 2019 • Host to Host banking solution implemented in 2 locations and to be expanded to 9 more locations in 2018 • Version 1 of Programme and Project portal to be released in 2018 • Time management system to go live in 2018 <p>b) Union Applications:</p> <ul style="list-style-type: none"> • Development of a centralized Commission management system in 2018; • Improvements of CRM and HRMS to better serve commission members and staff respectively; • Define an Open Source alternative to ESRI for low cost requirements. <p>c) Technology & Service Delivery Update</p> <ul style="list-style-type: none"> • Maintain all offices using the Global wide Area Network (GWAN) to stay up-to-date (security and compliance) and develop a solution for small locations, pilot in 2018, implementation in 2019 • Prepare for upgrade to Windows 10 and Office 365, pilot and first deployment; • Upgrade email system (enable Calendar & Meeting management, better email Management rules); <p>The Global Information Systems Group (GISG) will be working to ensure that systems are compliant with GDPR</p> <p><u>Summary of the discussion</u></p> <p>The Director of GISG, in response to a question from the Treasurer, noted that the major concern remains external intrusion to IUCN’s systems. Intrusion attempts range at about 400 per day, up from 50 per week three years ago. This requires time and resources to monitor. In response to the question regarding the worst possible scenario for cybersecurity breach, it would be to steal HR or CRM data.</p> <p><u>Conclusion</u> The FAC <i>TOOK NOTE</i> of the report.</p>	
FAC/14	<p>HR policy framework</p> <p><u>Purpose and background</u></p> <p>The Chief Human Resources Officer (CHRO) presented the proposed area of improvements to the Staff Rules, noting that the Staff Rules approved by Council in 2003 was the overarching policy. He informed the FAC that a revised version was under consultations with staff and that this could be presented to the FAC prior to the next Council meeting in</p>	INF

	<p>October.</p> <p><u>Summary of the discussion</u></p> <p>FAC enquired about the reasons for none completion of modified staff rules as decided in the previous FAC meeting. Secretariat explained that more time was required for consultations with staff to ensure developing appropriate staff rules. FAC asked whether the consultation is with all staff and how it was being conducted. The Secretariat responded that the consultation is between staff representation groups where they exist and with local management where no staff representation exists.</p> <p>FAC asked about the time line for the staff consultation process and the time needed to finalize draft revised Staff Rules. The Secretariat indicated that consultation with staff will finish on 10th May and that a draft of the revised Staff Rules will be ready by August 2018 and be submitted for FAC approval prior to next FAC meeting in October.</p> <p>FAC and Secretariat acknowledged the need to strengthen and ensure consistency of the exit interviews with departing staff to capture their opinions on how IUCN could be improved.</p> <p><u>Conclusion</u></p> <p>The FAC <i>TOOK NOTE</i> of the report from the CHRO and agreed with Secretariat to receive a draft of the revised Staff Rules for review and approval by August 2018.</p>	
FAC/15	<p>Financial Planning post 2020</p> <p><u>Purpose and background</u></p> <p>IUCN relies largely on two sources of income; restricted and unrestricted income. The trend in the last few years has been a progressive reduction in Framework income, a large portion of the unrestricted income. On the other hand, restricted income has been on the increase.</p> <p>In preparation for the 2021-2014 Program, IUCN needs to be prepared to embrace new trends and mitigate any untoward effects on the operational capability of the union</p> <p><u>Summary of the discussion</u></p> <p>FAC welcomed the timely discussion for post 2020 and encouraged the Secretariat to consider the varied</p>	

	<p>opportunities available for resource mobilization in future years. Examples floated included;</p> <ul style="list-style-type: none"> a) Fees on knowledge products b) Targeting multilateral banks c) Consider IUCN being an implementing partner for Governments d) Tap into funds available for cities and urban areas Biodiversity programs e) Consider opportunities availed by the private sector engagement in the conservation arena f) Consider partnering with CBD as an implementing partner <p><u>Conclusion</u></p> <p>The FAC <i>TOOK NOTE</i> of the report and encouraged the Secretariat to draft proposals for discussions by FAC and PPC.</p>	
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Appendix: Policy and Procedure on Forward Contracts for Hedging

Title	Forward Contracts for Hedging
Responsible Unit	Global Finance, Gland
Developed by	Global Finance, Gland
Applicable to	All IUCN Offices
Version 1.1	Revised April 2018

1. Purpose

The purpose of this policy is to define IUCN's use of Forward Foreign Currency Contracts, implementing and maintaining appropriate systems of internal controls for Forward Foreign Currency Contracts.

2. Applicability

The Forward Contracts and Hedging policy applies to all IUCN offices and staff.

3. Background and Guiding Principles

- 1 IUCN will only use Forward Foreign Currency Contracts to hedge currency risk. It will not use Forward Contracts for a speculative trading purpose.
- 2 IUCN receives some funds in Foreign Currencies, other than the main spending currencies Swiss Francs, Euros and USD, for example in Swedish or Norwegian Kronor. For significant contract values IUCN purchase a forward contract to hedge the currency into a "spending" currency. In doing so, IUCN can reduce the risk of currency fluctuation, between the time of signing the contract and receiving the funds.

4. Policy

IUCN Finance can only use Forward Foreign Currency Contracts to hedge currency risk. It will not use Forward Contracts for a speculative trading purpose. There are certain Foreign Currency Contracts which allow for the downside currency risk to be protected, whilst still allowing IUCN to benefit from an upside in the currency movement, these contracts can be considered, as long as the downside risk to IUCN is protected.

IUCN Finance will only engage in Forward Foreign Currency Contracts with a Financial Institution (the counterparty) which is regulated under “Financial Market Infrastructures Act” (FMIA) and the related “Financial Market Infrastructure Ordinances” (FMIO) and will report the IUCN derivative trades to the relevant trade repository recognised or authorised by the FMIO on IUCN’s behalf.

As per the Delegation of Authority Policy, the Chief Finance Officer (CFO) derives the authority to engage IUCN in Forward Foreign Currency Contracts from the Director General, and any hedging or derivative contracts have to be approved by the CFO. The CFO will task a member of the Global finance team to evaluate the contract options and the CFO will decide which contract to take. Once the decision has been taken the designated staff member can inform the bank and complete the contract details.

Management will ensure that contracts will only be completed at levels which ensure that IUCN stays defined as a “Non-Financial Counterparty (NFC-)” and will not contract deals which take IUCN above the thresholds as defined in the FMIA legislation, as indicated overleaf.

5. Classification as a non-financial counterparty (NFC-)

A Non-Financial Counterparty (NFC-) is deemed to be small if all of the rolling averages for its gross positions in relevant outstanding “Over The Counter” derivatives transactions calculated over 30 working days are below the thresholds set in the FMIA.

The thresholds set in article 100 of the FMIA.

The thresholds that shall apply to the average gross positions in outstanding OTC derivatives transactions are as follows:

- Credit derivatives: CHF 1.1. billion
- Equity derivatives: CHF 1.1. billion
- Interest rate derivatives: CHF 3.3 billion
- Currency derivatives: CHF 3.3. billion
- Commodity derivatives and other derivatives: Not applicable



IUCN 94TH COUNCIL MEETING

1-2 May 2018

2017 Financial Results - Summary

- Core income and expenditure
 - Surplus of CHF 1.1m before transfer to designated reserves
 - Deficit of CHF 0.1m after transfer to reserves vs. an approved budget deficit of CHF 2.0m
- Project income and expenditure
 - CHF 95.4m vs a budget of CHF 119.5m (79%)
- Reserves
 - Increase from CHF 20.3m to CHF 21.5m

2017 Financial Results

- Major variances compared to budget:
 - Framework income above budget CHF 0.6m
 - Additional funding from Sweden
 - Other income above budget CHF 0.8m
 - New Patrons of Nature
 - Exceptional costs below budget CHF 1.1m
 - Lower redundancy costs

Transfers to designated reserves

The following transfers to designated reserves are included in the financial statements:

- **Reserve for statutory meetings:**
 - Congress 2020 239k
 - Regional Conservation Fora 250k
 - **Sub total** **489k**

- **Other designated reserves:**
 - External Review 75k
 - Balances on Commission Operating Funds 214k
 - Systems development 382k
 - Renovation fund 16k
 - **Sub-total** **687k**

- **Total** **1,176k**

2017 audit

- The auditors have completed their audit.
- They are ready to sign a non-qualified audit report following approval of the financial statements by Council.
- In respect of internal controls they highlighted that good progress continues to be made to improve both IT and financial controls, and have made some recommendations for further improvements in specific areas.
- They also noted that as required by Swiss Law, IUCN has put measures in place to comply with the Financial Market Infrastructure Act (FMIA) –Regulation for derivatives trading.

2017 Financial Statements and report of the Statutory Auditors

FAC recommendation

FAC, following to the external auditors opinion and on the proposal of Director General, recommends to Council the approval of the 2017 financial statements.

DRAFT COUNCIL DECISION

Council, on the recommendation of the Finance and Audit Committee, **approves** the Audited Financial Statements for 2017, noting that final approval rests with the 2020 World Conservation Congress as provided under Article 20 (d) of the Statutes.

Policy and Procedures on forward contracts for hedging

FAC recommendation

FAC recommends to Council to approve the small amendment to the Policy on the use of derivatives. The change adds a paragraph regarding the threshold and IUCN's actual classification to ensure the policy's completeness and full compliance with the Swiss Law.

DRAFT COUNCIL DECISION

Council, *on the recommendation of* the Finance and Audit Committee,

approves the amendment to the Policy and Procedure on Forward Contracts for Hedging

Proposed Addition to Policy on Forward Contracts for Hedging

- **Management will ensure that contracts will only be completed at levels which ensure that IUCN stays defined as a “Non-Financial Counterparty (NFC–)” and will not contract deals which take IUCN above the thresholds as defined in the FMIA legislation, as indicated overleaf.**
- **Classification as a non-financial counterparty (NFC–)**
Non-Financial Counterparty (NFC-) is deemed to be small if all of the rolling averages for its gross positions in relevant outstanding “Over The Counter” derivatives transactions calculated over 30 working days are below the thresholds set in the FMIA.

The thresholds set in article 100 of the FMIA.

The thresholds that shall apply to the average gross positions in outstanding OTC derivatives transactions are as follows:

- Credit derivatives: CHF 1.1. billion
- Equity derivatives: CHF 1.1. billion
- Interest rate derivatives: CHF 3.3 billion
- Currency derivatives: CHF 3.3. billion
- Commodity derivatives and other derivatives: Not applicable

Budget for Councillors' travel

Terms of reference

- To review the legal and governance implications, including benchmarking against other NGO's, international organizations similar to IUCN, and to assess funder views of IUCN providing funds for Councillors to travel within their region and report back to the FAC, which will then report back to the Bureau and to Council.
- If a decision is made to proceed, to establish criteria and process to guide it's application.

Members of the Sub-committee

Councillors:

- Rick Bates
- Norbert Baerlocher
- Malik Amin Aslam Khan
-

Secretariat:

- Mike Davis (CFO)
- Aban Marker Kabraji (Regional Director Asia)

Statutes – relevant articles

Article 63

No member of the Council shall receive any remuneration from IUCN. Expenses incurred in the discharge of their duties may be reimbursed.

Article 72

Regional Councillors and other members of the Council resident in a State or Region where such Committees and Regional Fora have been established, shall be invited to participate in the meetings and activities of the corresponding National and Regional Committees and Regional Fora. Members of the Commissions resident in such State or Region, may be invited to participate in meetings and activities of the National and Regional Committees and Regional Fora.

Provision of a budget for Councillors' travel

FAC recommendation

Taking into account articles 63 and 72 of the IUCN Statutes and given the budgetary constraints faced by IUCN, the FAC sub-committee recommends the adoption of option 5 in its report, and that:

1. a budget be established to cover a limited number of trips for regional councillors (ordinarily one trip annually for each regional councillor) as of 2019 .
2. The budget will be managed by regional offices in a manner that regional councillor and regional director would agree by consensus with approval by the Head of the Governance Unit on the trips to be undertaken. The budget would be administered by IUCN Regional Directors with oversight from the Governance Unit.
3. Eligible trips may be as follows:
 - Attendance of national and regional committee meetings
 - Trips to deliver specific mutually agreed targets between the regional councillor and regional director (e.g. membership of new states, state agencies or other revenue generation)

Provision of a budget for Councillors' travel

DRAFT COUNCIL DECISION

Council, *on the recommendation of the Finance and Audit Committee*, **approves** the provision of a budget for Councillors' travel, noting:

1. The Management of this will involve the Regional Councillor and Regional Director agreeing by consensus on the trips to be undertaken, with approval by the Head of the Governance Unit.
 2. eligibility would be limited to:
 - a) Attendance at national and regional committee meetings, and
 - b) Trips to deliver specific mutually agreed targets agreed between the Regional Councillor and the Regional Director;
 2. the budget line would be used to supplement other funding opportunities;
- and requests the Director General to include provision in IUCN Budget starting form 2019.

Investment Update

- The CFO presented key statistics. The return on the investment for 2017 was 1.97%.
- FAC decided to revise the investment policy, since the new treasurer on board.
- FAC Formed a sub committee to work with the secretariat on reviewing and updating the investment policy and present a revised policy next FAC meeting in October 2018. The committee comprises of Ayman, Marco, Rick and Nihal and supported by Mike.

Resource mobilisation update

- FAC was updated on the resource mobilization situation on framework as well as other unrestricted donors.
- IUCN restricted income continues to grow, GEF, GCF.
- The main Framework donors are now European Commission (25%), Germany (20%), Sweden, MAWA, USAID and SDC.
- The Patrons of Nature programme is growing.
- FAC encouraged the Secretariat to find a way of matching the 2017-2020 Programme to Resources mobilisation and related investment by all the components of the union, in the spirit of the One Programme delivery model (Secretariat, Commissions, and Members).
- FAC took note of the challenges facing the Union in resources mobilization

Reports of Oversight and Legal advisor

- FAC took note of the report of the Head of Oversight.
- FAC asked HoO to assess root causes of reported non compliances including assessing existing systems and internal control measures.
- FAC asked secretariat to take proactive measures to reduce potential risks from happening in the future.
- FAC asked secretariat to disseminate Anti Fraud policy across the union and raise staff awareness about it.
- FAC took note of the update on legal issues pertaining to legal actions by and against IUCN relevant to FAC.

Membership Dues

- FAC took note of the update on membership dues: In 2018, membership due amounted to CHF 11.7 million with 1,298 members
- FAC took note of the letter received from members who are unable to pay their dues in South America asking for possible arrangements to pay their membership dues to remain members.
- FAC noted the that the sliding scales of membership dues may create unfavorable incentives for some members.
- FAC will coordinate with GCC in preparation of the proposed membership strategy and possible changes to the membership dues structure. It was noted that the Secretariat will prepare TORs for consideration of a joint working group of FAC/GCC to review the dues for 2021-2024.

General Data Protection Regulation

- FAC took note on the the new EU policy on requirements of General Data Protection Regulation (GDPR), and how it may impact IUCN and actions being taken to ensure compliance. GDPR goes into effect on 25 May 2018.
- The potential risks of not adhering to the GDPR include; regulatory, reputational, financial: € 20 Million maximum or 4% of company annual turnover (per case) and legal (claims).
- FAC proposed that IUCN identify a person tasked with compliance monitoring to deal with all the compliance issues the Union faces, of which GDPR is one of them.

Update on information systems projects

- FAC took note of the proposed development on IS.
- FAC was assured by the director of Global Information Systems Group (GISG) that they will be working to ensure that systems are compliant with GDPR.
- Director of GISG responded to FAC question about potential external intrusion and cyber security . Currently 400 attempt per day.

HR Policy = Staff Rules

- FAC took note of the delay in presenting draft staff rules for approval during this meeting due to prolonged staff consultations.
- Secretariat assured FAC that staff consultation will end by 10th of May 2018 and that a draft staff rules will be finalized by August 2018 (the latest) and submitted for FAC approval through electronic meeting in August 2018.
- FAC emphasized the importance of having staff rules finalized and implemented as soon as possible as agreed by August 2018 the latest.

THANK YOU



94th Meeting of the IUCN Council, 29 April – 2 May 2018

GOVERNANCE AND CONSTITUENCY COMMITTEE (GCC)

Meeting of Sunday/Monday 29-30 April 2018

Report to Council

In Attendance: Jennifer Mohamed-Katerere(Chair); Jenny Gruenberger (Deputy Chair); Ali Kaka (Vice President in the GCC), Mamadou Diallo, Hilde Eggermont, Masahiko Horie, Sixto J. Incháustegui, Tamar Pataridze, Líder Sucre, Youngbae Suh.

Apologies: Shaikha Salem Al Dhaheri

GCC/ 2.1.1	<p>Membership applications Consideration of 13 membership applications, including the deferred application from Tajjijn (AITA Foundation)</p> <p>The GCC reviewed:</p> <ol style="list-style-type: none"> 1. 12 new membership applications, which have received no objections from IUCN Members and fulfill the requirements of the IUCN Statutes and Regulations (Annex I). 2. One membership application, which received objections from IUCN Members, which was considered by previous meetings of the Council/Bureau and for which the decision was deferred to the 94th meeting of Council in April 2018. <ul style="list-style-type: none"> - Tajjijn (AITA Foundation), China (discussion page on Portal) <p><u>Azat Foundation (Pakistan)</u> Some concerns were raised with regards to the conservation record of the Azat Foundation (Pakistan) and it was also noted that this was a human rights organization. The applicant has indicated that they work in three areas – water programme, drylands (development) and solar . GCC asked whether this was sufficient to meet the admission requirements.</p> <p>The GCC Chair reminded the group that (1) rights and governance were a key part of the programme and (2) aspiration cannot be used as a criterion for admission. Track record is what counts.</p> <p>After thorough discussion, it was agreed that Azat Foundation fulfilled the requirements of membership.</p> <p>Some issues raised in discussion: It was critical that the GCC consider the membership composition of IUCN, and ask what are the needs and gaps. It was proposed that this should be a key discussion at the next Council in Jeju.</p> <p>It was also highlighted that it would be useful to spend some time discussing issues such as the criteria and what conservation actually means to help us better assess membership applications What does IUCN's work tell us about what conservation means? The programme is key – the three core areas to help us understand what conservation means for IUCN. Using the Programme as a guide along with the work of the different components is what gives us the best understanding of conservation from an IUCN perspective.</p> <p>Some members of the GCC felt that the application was borderline but following discussion, the GCC unanimously agreed to <u>accept</u> the application.</p> <p><u>Association Française des Entreprises pour l'Environnement (France)</u></p> <p>Some concerns were also raised on the application from the Association Française des Entreprises pour l'Environnement (France) – EpE:</p> <p>Is this a backdoor entry? Whilst EpE is an association and in this capacity is eligible for IUCN membership they have members (such as Bayer and Monsanto) who cannot in their own capacity become Members of IUCN themselves. This is huge cause for concern.</p>	<p>DEC</p> <p>C/94/GCC/2.1 Memberships (incl. Annex I-II)</p> <p>AITA-Annex II</p>
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The ethics of the association itself is what is of importance. Changing the behaviour of their members is a good thing and it is important for IUCN to work with the private sector. It is important to know how the EpE assesses its members prior to accepting them.

There is little recent evidence of EPE's work on environment was found through internet, other than their own publications, and it was suggested that more information was needed.

It was agreed to defer the application pending more information.

The Secretariat was requested to proceed with a due diligence process by contacting: The Chair of the French National Committee, Regional Councillors in West Europe, the Regional Office, the Private Sector Task Force and the Business and Biodiversity Programme. Further the Secretariat was asked to establish what if any criteria EpE uses to accept membership

EPE will also be contacted to be requested to provide evidence of record of environmental work and to provide information about the criteria it uses for membership.

Tajjin (AITA Foundation)

Having had time to consider the application further, members of the GCC were of the view that AITA has an insufficient track record of conservation. Some members observed that track record 's objectives conflict with IUCNs work in that they object to sustainable and consumptive use of wildlife.

For these reasons, and being unable to find sufficient activity to support their admission, the GCC recommended rejecting this application. Secretariat will write to them informing them of the decision and inviting them to resubmit their application in three years' time.

Other membership applications

GCC members advised that the remaining 10 applications met the requirements for membership and therefore they were approved for admission.

Membership Update

An update on membership was provided to GCC by the Director of the Union Development Group. To-date, there are 1333 Members. Concerns about the trends in Africa were raised particular as this is a biodiversity-rich region. The GCC expressed its interest to hear in more detail about the efforts the IUCN Regional Offices are making to retain the Members and diversity of membership. In particular the GCC noted that person-to-person meetings might be critical in retaining membership.

The GCC requests:

The Director of the Union Development Group to prepare a letter for the GCC, to be sent to the Director General asking her to inform Councillors, Members, National Committees, and Regional Committees when she or any Global Directors are in the region so that she can arrange to meet with them.

This information should be entered into the progress tracker for the GCC.

DRAFT COUNCIL DECISION

The IUCN Council, on the recommendation of the Governance and Constituency Committee,

Approves the admission of 11 organizations and/or institutions applying for membership.

Defers the admission of the Association Française des Entreprises pour l'Environnement (France) – EpE, to such time when the Secretariat has undertaken a due diligence process and secured additional information.

Requests the Secretariat to undertake a due diligence process and to seek additional clarification from EpE on the record of its environmental work and its membership criteria.

Rejects the admission of Tajjin (AITA Foundation) on the basis that they have insufficient track record of conservation. The AITA Foundation is invited to reapply in three years when they can provide more evidence of their track record.

GCC/ 2.1.1	<p>2.1.1 Update on e-vote on IFAW</p> <p>At the last Council, the GCC agreed to submit the decision on the admission of IFAW to an electronic vote by Members. The e-vote started on 18 April. 978 Members were accredited and a third has voted so far. The e-vote will close on 2 May and the results will be published by 9 May.</p>	INF
GCC/ 2.1.2	<p>Membership applications review process</p> <p>This item follows a discussion that was initiated in July 2017 when GCC discussed ways to strengthen the review of membership applications not meeting some IUCN Statutory requirements and how to improve the due diligence process. Amongst others, one of the proposals made, following the presentation on Sustainable Use by Rosie Cooney, the Chair of SULi, was to add specific questions on sustainable use on the membership application form. It was also proposed to consult with Regional Councillors and National Committees for each new application, as it is already done in some regions, as South America.</p> <p>During its 13th meeting, GCC made the following decisions:</p> <ol style="list-style-type: none"> 1. <u>Approved</u> the additional questions (with some changes) for the membership application form and the questions to be asked to controversial applicants (questions relate to Article 7. 2. <u>Approved</u> the revised membership application form, including the additional questions. 3. <u>Approved</u> the revised assessment form for reviewing membership applications, including the additional questions and checks to be made for the due diligence process. 4. <u>Approved</u> the questions (with some changes) for endorsers¹, Councillors and National or Regional Committees. 5. <u>Approved</u> the overall “revised membership application/review and due diligence process”. <p>It was decided that for now, the Secretariat would take responsibility for determining eligibility of applicants. The situation would be reassessed in a year’s time to see how it has worked and if necessary to make recommendations for the next Council.</p> <p>The question of a Code of Conduct for Members was raised as there is currently none. GCC expressed interest in exploring the possibility of developing one. Ali Kaka volunteered to prepare a brief paper for consideration of the rest of the GCC by the end of May.</p> <p><i>This is to be noted in the Progress Tracker and Workplan of the GCC.</i></p> <div style="border: 1px solid black; padding: 5px; background-color: #e0f0ff;"> <p>DRAFT COUNCIL DECISION The IUCN Council, on the recommendation of the Governance and Constituency Committee, <u>Endorses</u> the revised membership application/review and due diligence process, as detailed in Annex []. The revised process includes but is not limited to the fact that: a) All applications, regardless of the Secretariat’s view of whether or not they comply with the Statutory requirements², shall be circulated to: i. Members so they can express their opinion on the applications; ii. Regional Councillors and National or Regional Committees for feedback.</p> </div>	DEC C/93/GCC/2.1.2 Application /review process
GCC/ 2.2	<p>2.2 Members’ name or category changes</p> <p>The Secretariat has received a request from the Helsinki Zoo Foundation to change its membership category. According to Regulation 21, a Council decision is required regarding a request from a Member to be transferred to another Member Category.</p> <p>In addition, four Member organisations have changed their legal name. It is the usual practice to inform GCC/Council of such changes³.</p>	DEC C/94/GCC/2.2 Name/category changes

¹ These questions should serve as a guide to endorsers to write meaningful endorsement letters.

² The exception is for cases in which the applicant does not meet one or more of the requirements listed in regulations 4-6 (eg. 3 years’ existence, not-for-profit, independent board). In such cases, the Secretariat has the discretion not to forward the applications for consideration by Members.

	<p>DRAFT COUNCIL DECISION The IUCN Council, on the recommendation of the Governance and Constituency Committee,</p> <ol style="list-style-type: none"> 1. Approves the request from one current IUCN Member to change its membership category as follows: <ol style="list-style-type: none"> a) The Helsinki Zoo Foundation from Affiliate to National NGO 2. Takes notes of the change of name of four current Member organisations, as follows: <table border="1" data-bbox="233 421 1276 792"> <thead> <tr> <th>Country</th> <th>Previous name</th> <th>New name</th> </tr> </thead> <tbody> <tr> <td>Guatemala</td> <td>Centro para la Investigación y Planificación del Desarrollo Maya SOTZ'IL</td> <td>Asociación SOTZ'IL</td> </tr> <tr> <td>Finland</td> <td>Helsinki Zoo</td> <td>Helsinki Zoo Foundation</td> </tr> <tr> <td>USA</td> <td>Consultative Group on Biological Diversity</td> <td>Biodiversity Funders Group</td> </tr> <tr> <td>Pakistan</td> <td>National Rural Development Program</td> <td>Rural Aid Pakistan</td> </tr> </tbody> </table>	Country	Previous name	New name	Guatemala	Centro para la Investigación y Planificación del Desarrollo Maya SOTZ'IL	Asociación SOTZ'IL	Finland	Helsinki Zoo	Helsinki Zoo Foundation	USA	Consultative Group on Biological Diversity	Biodiversity Funders Group	Pakistan	National Rural Development Program	Rural Aid Pakistan	
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USA	Consultative Group on Biological Diversity	Biodiversity Funders Group															
Pakistan	National Rural Development Program	Rural Aid Pakistan															
GCC/ 2.3	<p>Update on the Membership Strategy</p> <p>Secretariat presented a verbal update on the strategy. A paper is being prepared and will be shared with GCC and Council once it has been drafted and undertook to do so with in 4-8 weeks. There are a number of issues (e.g. what the ideal membership constitution is) that will need to be discussed in order to ensure that the strategy is appropriately formulated.</p> <p>In discussion</p> <p>The GCC requested that the paper include information on how GCC and Council will be expected to take part going forward.</p> <p>The Chair noted that she had asked the Secretariat to prepare a paper for the consideration of the GCC ahead of Council to facilitate discussion in the GCC and Council more generally. The Chair noted there was strong interest in this issue among Councillors.</p> <p>A suggestion was made that the Strategy not only refer to the “three pillars” of IUCN but include how Councillors may be engaged in this strategy</p> <p>A further suggestion was made with regards to capacity building. The Chair asked that the secretariat ensure that the needs of the different IUCN constituents be considered when formulating the strategy. These needs can differ greatly between regions and Member category. The Deputy Chair explained that the South American office is working to put together a Governance School and that she would share experiences and information once this was available.</p> <p>It was also noted that subsequent to the meeting of IPO Members held in March this year, some ideas for an IPO-related strategy had been formulated. The Secretariat confirmed that the matters raised in the paper would be considered in the preparation of the strategy.</p> <p>Note that the membership engagement strategy is referred to in the IUCN Programme 2017-20 (pp. 47).</p>	INF															
GCC/ 2.4.1	<p>Recognition of the National Committee of Belize</p> <p>The Belize National Committee has submitted its complete application to Council. GCC recommends its recognition.</p>	DEC C/94/GCC/															

³ In the Council document only two changes of names were listed. The Secretariat received last week two more changes which were presented during the meeting.

	<p>DRAFT COUNCIL DECISION The IUCN Council, on the recommendation of the Governance and Constituency Committee, <u>Approves</u> the recognition of the Belize National Committee of IUCN Members.</p>	<p>2.4.1 Recognitio n of NRC</p>
<p>GCC/ 2.4.2</p>	<p>Revised bylaws of the Paraguay National Committee and the Caribbean Regional Committee</p> <p>The Governance and Constituency Committee took note of the Bylaws of the Paraguay National Committee of IUCN Members.</p> <p>Following comments received by the Legal Advisor regarding the Caribbean Regional Committee bylaws, the secretariat has requested that the Regional Committee update their bylaws accordingly and re-submit to GCC for approval</p> <p>DRAFT COUNCIL DECISION The IUCN Council, on the recommendation of the Governance and Constituency Committee, 1. <u>Takes note</u> of the revised Bylaws of the Paraguay National Committee of IUCN Members.</p>	<p>DEC</p> <p>C/94/GCC/ 2.4.2 Bylaws NRCs</p> <p>C/94/GCC 13/2.4.2 Annex 1 in Word</p>
<p>GCC/ 2.4.3</p>	<p>2.4.3 Update from the Global Group on National/Regional Committee development (WCC-2016-Res-002) .</p> <p><i>It was agreed that the GCC will be updated about progress by email, using the current document as a basis for this.</i></p>	<p>C/94/GCC/ 2.4.3 Update Global Group NRC</p>
<p>GCC/ 2.4.4.</p>	<p>2.4.4 Paper on the establishment of Interregional Committees</p> <p><i>The GCC Chair advised that the Bureau had discussed the issue of Interregional Committees and the Bureau had proposed that both political and ecological factors are considered in describing the terms for composition. This item was postponed to a Skype call meeting (in early June – date to be confirmed.) Cf. Council document C/94/5.3 Areas for improvement of IUCN's governance.</i></p>	<p>C/94/GCC/ 2.4.4 IR Committee s</p>
<p>GCC/ 2.4.5</p>	<p>2.4.5 Commissions' rights within National/Regional Committees</p> <p>At the last meeting of the GCC in November 2017, following the presentation of the revised bylaws of the Ecuador National Committee and of the South America Regional Committee, the GCC discussed the voting rights of Commissions within National/Regional Committees in general. It was agreed that these Committees could continue to operate in the same way for the time being but that GCC would make a ruling on the status and role, including the voting rights, of Commissions within the National and Regional Committees.</p> <p>Background: The Membership Focal Point for South America asked in 2017 whether the participation, with voting rights, of Commission Focal Point/ Commission Deputy Chair within National/Regional Committees in South America was in line with the IUCN Statutes. This is the case for the South America Regional Committee and the Ecuador National Committee, who submitted their by-laws to Council's attention. Some other National Committees in South America also give Commissions the same voting rights, as well as the Regional Committee for Mesoamerica. This has been the case for many years and the by-laws of these Committees were approved by Council when they requested recognition many years ago. The IUCN Legal Adviser was requested for advice. In summary, her opinion is that the Statutes do not allow Commissions to be part of National or Regional Committees with a voting right (observer status only).</p> <p>The question is whether the relevant Committees should be requested to change their bylaws</p>	<p>INF</p>

	<p>or if GCC considers that in the spirit of the One Programme Charter Commissions could have voting rights on programmatic issues in National and Regional Committees, if so an amendment to the Statutes should be proposed. It was also considered whether the Commissions Deputy Chair/Focal Point had in fact legally acquired rights to vote in members meeting on programmatic issues.</p> <p>The Chair asked the GCC, invited Commission Chairs (Jon Paul Rodriguez (SSC), Angela Andrade (CEM) and Kathy Mackinnon (WCPA) and the Legal Adviser to reflect on how to respect the interests of the Members of the countries concerned and the way in which they have been operating for some time whilst taking into account the Statutes. She also wished to explore the possibilities of accommodating this modus operandi.</p> <p>The three invited Commission Chairs were asked for their opinion. They felt that it would be beneficial to have Commission members present at meetings and this encourages and enables collaboration, especially in areas of low Member representation. This view is generally accepted. However, voting by Commission Deputy Chair/Focal Point at these meetings remains an issue.</p> <p>The Deputy Chair explained that not all members of the Commission participating in a member's meeting can vote; only one representative per Commission could do so. In addition, if votes take place, they only relate to programmatic issues, not constituency or governance issues.</p> <p>It was pointed out that since the Union has been striving for a One Programme Approach, this option appears to be a good one.</p> <p>The Legal adviser was asked to look into this further and present the GCC with some workable options for supporting the Members and Commissions in the regions concerned. In the meantime, Committees can continue to operate as they have been.</p> <p><i>The Secretariat is to note this in a progress tracker.</i></p>	
2.5.1.	<p>2.5.1 Update on Members whose rights were rescinded by the 2016 Congress and Members whose rights will be rescinded by e-vote in 2018</p> <p>The Secretariat presented an update on the Members whose rights were rescinded by the 2016 Congress.</p> <p>Out of the 161 Members that were rescinded at the 2016 World Conservation Congress, 120 have been withdrawn and 11 have proposed a payment plan. There are still 15 Members on the rescission list and the Secretariat requested GCC's advice on what to do with them.</p> <p>GCC proposed that for these Members, the Secretariat (Regional Directors) should engage with these State Members. The GCC requests the Director General to ask the Regional Directors to undertake face to face meetings to encourage them to pay and to ask the Union Development Group to report back to GCC within three months. Failing which GCC proposes to withdraw those members who are in arrears for more than 3 years.</p> <p><i>The Secretariat is to note this in a progress tracker.</i></p> <p>Following Council decision C/93/13, Secretariat also updated GCC on the number of Members currently at risk of being rescinded by a Members' e-vote at the end of 2018. There are 135 Members on the list at present.</p>	INF
2.5.2	<p>Dues reassessment process for NGOs (INF)</p> <p>The 2017-2020 Membership Dues Guide that was approved by the 2016 Congress includes a process to review membership dues for NGOs every four years. This process will take place in 2018-2019.</p> <p>Following a letter received by the GCC Chair from the South American Regional Committee, a discussion around the need to look into the reassessment of membership dues in general ensued.</p>	INF

	<p>It was agreed to set-up a joint FAC/GCC working group (WG) to look at this matter in more detail. In addition to the matters raised by the South American Regional Committee, the WG will be asked to take into account other membership categories/sub-categories such as Indigenous Peoples' organisations, Affiliates, International NGOs, Zoos and Aquaria etc.</p> <p>Secretariat will draft the TORs and present them to GCC/FAC. Three members of the GCC, Ali Kaka, Sixto Incháustegui and Jenny Gruenberger have volunteered to take part in the group.</p> <p><i>This is to be noted in the progress tracker of the GCC and in the Workplan.</i></p>	
GCC/ 2.3	<p>Issues regarding the membership admission criteria for International NGOs</p> <p><i>This item will be discussed at the next GCC Skype meeting (to be held at the beginning of June).</i></p>	
GCC/ 2.4	<p>GCC work plan (INF)</p> <p><i>The Global Director, Union Development Group, was requested to update the workplan for email circulation and if necessary discussion at the next GCC Skype meeting (to be held at the beginning of June).</i></p>	C/94/GCC 13/2.7
GCC/ 1.1.	<p>Amendments to the Statutes, Rules and Regulations resulting from the Bureau's working group</p> <p>In May 2017, the Bureau appointed a Working Group to identify areas for improvement of IUCN's governance to be considered during this quadrennium. The Working Group has listed a series of areas for improvement and suggested a process for each of them to be prepared for Council's consideration and approval. .</p> <p>The Co-chairs of the Bureau working group (Antonio Benjamin and Jennifer Mohamed-Katerere) presented the proposals that received the Bureau support on 29 April 2018. The Bureau proposed that the GCC undertake this governance work. The GCC is required to further develop proposals for addressing all these issues and to complete these actions with in the timelines set out in the Table.</p> <p>One of the Co-chair of the Bureau working group, will present these proposals to Council on behalf of the Bureau to the Council plenary on 1 May 2018.</p> <p><i>Items for GCC action are to be added to the GCC Workplan and Progress Tracker.</i></p>	<p>DEC</p> <p>Council document C/94/5.3</p>
GCC/ 1.2	<p>Update on the implementation of Resolution WCC-2016-Res-003 – Including regional governments in the structure of the Union</p> <p>The Pre-working Group chaired by Hilde Eggermont presented the draft TORs and Process for selecting the membership of the Working Group referred to in WCC-2016-Res-003 and asked for Council to endorse these.</p> <p>The chair of the pre-working group has proposed that Amran Hamzah of the PPC, to Chair the group and he has accepted this. The call for other members of the group will go out following approval of the documentation by Council.</p> <p>The Working Group will be requested to provide their draft motion by June 2019 at the latest, or such date as required to meet the deadlines for submission of motions to the 2020 Congress process.</p>	<p>DEC</p> <p>C/94/GCC 1.2 Res.003</p>
	<p>DRAFT COUNCIL DECISION The IUCN Council, on the recommendation of the Governance and Constituency</p>	

	<p>Committee,</p> <p>Approves the Terms of Reference for the Working Group referred to in WCC-2016-Res-003 (annex xx) as well as the process to appoint the members of the Working Group presented in the Council document. (in footnote: Council document C/94/GGC13/1.2 rev).</p>	
<p>GCC/ 1.3</p>	<p>Review of IUCN's Governance</p> <p>During its meeting on the 7 February 2018, the GCC decided that a review of IUCN's governance (including all components of the Union) should be commissioned and requested the Secretariat to prepare draft Terms of Reference. These TORs should enable a review led by an external reviewer in cooperation with an internal IUCN team, and should address governance issues of the Union in the broad sense. Final report to be made available by the end of 2018 with an interim report with findings regarding Council to be made available for discussion in Council (95th meeting, Jeju, October 2018).</p> <p>Secretariat presented the draft TORs to the GCC who recommend to Council to accept them. Secretariat will recruit the consultant if possible by the end of May 2018. A timetable for the review is included in the TORs.</p> <p>The Final report should be completed by 10 January 2019 and presented to GCC/Council. The Council Management response will be prepared by April 2019.</p> <p><i>To be added to the GCC Workplan and Progress Tracker.</i></p> <div data-bbox="220 931 1299 1151" style="border: 1px solid black; padding: 5px;"> <p>DRAFT COUNCIL DECISION The IUCN Council, on the recommendation of the Governance and Constituency Committee,</p> <p>Approves the Terms of Reference for the external review of IUCN's governance (Annex xx).</p> </div>	<p>DEC</p> <p>C/94/GCC/1.3 External review</p>
<p>GCC/ 1.4</p>	<p>Council Handbook</p> <p>The Chair of the GCC Task Force on the Council Handbook, Tamar Pataridze, presented the proposals of the Task Force concerning the Performance Tools to be annexed to the Council Handbook.</p> <p>The Task Force Chair explained that it had consulted with the Ethics Committee (EC) of Council following a request from the Bureau to examine whether the Performance Commitment could be merged with the Conflict of Interest Disclosure Form. They being two documents of a fundamentally different nature, the TF had agreed with the EC to advise that they be kept as separate documents.</p> <p>GCC accepted the proposed Performance Tools, with some tiny adjustments in the Activity Report and the Evaluation Questionnaire, as well as a recommendation to Council to approve them as well as the revised Council Handbook as presented to the 93rd Council meeting.</p> <p>The GCC noted that the Activity Report is mainly a tool for exchange of information among Council members, not for distribution outside Council. They will not be archived after the end of the term. The GCC will review the effectiveness of this tool in 2019. The Task Force Chair suggested that Council members will be invited to sign the Performance Commitment before the end of the Council meeting. While maintaining the current format for the Evaluation Questionnaire, the GCC agreed to identify additional ways/means to facilitate the evaluation of Council members and meetings, and to evaluate the effectiveness of the tool in 2019.</p> <p><i>To be added to workplan and progress tracker.</i></p> <div data-bbox="220 2011 1299 2130" style="border: 1px solid black; padding: 5px;"> <p>DRAFT COUNCIL DECISION The IUCN Council,</p> </div>	<p>DEC</p> <p>C/94/GCC/1.4 Council handbook</p>

	<p><i>On the recommendation of its Governance and Constituency Committee,</i></p> <p><i>Adopts the following documents to be annexed to the Council Handbook:</i></p> <ul style="list-style-type: none"> - <i>the Performance Commitment for IUCN Councillors (Annex 1);</i> - <i>the IUCN Councillor Activity Report (Annex 2), and</i> - <i>the Self-Assessment of IUCN Council members and Evaluation of the IUCN Council Meeting (Annex 3);</i> <p><i>Adopts the updated version of the Council Handbook (Document C/93/8 dated 17 November 2017, Annex 1) as required by Regulation 48bis;</i></p>	
<p>GCC/ 3.1</p>	<p>3.1 Date and place of the 2020 IUCN World Conservation Congress (DEC)</p> <p>The Congress Unit made a detailed presentation of all elements involved in the evaluation of the proposal submitted by the Government of France to host the IUCN World Conservation Congress in Marseille. The proposal included a letter of Guarantee from Ministry of Foreign Affairs and a budget pledging CHF 23.7M. The proposal, letters of support and all related documents are available in the Union Portal in the links provided in the adjacent box.</p> <p>Key strengths of France’s submission :</p> <ul style="list-style-type: none"> ✓ Adequate financial proposal covering all onsite costs as well as a generous financial support for sponsored delegates and sustainability measures; ✓ An impressive track record and strong commitment to event sustainability; ✓ A convincing proposal for the management of all security aspects; ✓ Strong commitment from all levels of government ✓ Strong support and engagement by the local and national IUCN Members, ✓ Potential to raise the profile of the Congress and IUCN at global level. ✓ Negotiation of the draft Hosting Agreement has been successfully concluded (letter of agreement received); content in line with the proposal and IUCN requirements <p>The Secretariat is comfortable organizing the World Congress in Marseille, France and transmits the strong recommendation by the Government of France to host the Congress in June 2020.</p> <p>The GCC was entrusted by the IUCN Bureau, with the difficult task of evaluating the technical proposal of the government of France. GCC undertook this with passion and enthusiasm and acknowledged the hard work of the evaluation team led by the Director of the Union Development Group, Enrique Lahmann.</p> <p>The Committee considered the Proposal and delved in more detail into the key issues of:</p> <ol style="list-style-type: none"> 1. The ranking of this Proposal against the two previous WCC. Although the exact requirements cannot be compared to the previous Congress as lessons learnt have been incorporated, the overall score of France is comparable to the score that Hawaii and Istanbul had for the 2016 selection process. 2. Respective financial commitments and the challenges of fund raising: The GCC took note of the substantive financial commitment by France with regards to onsite costs and contribution to sponsored delegates and noted that the Secretariat still had a fundraising target of CHF 6m+ which is comparable to the targets for previous Congresses. 3. Ensured that there is no conflict in environmental events (UNFCCC 9-20 November 2020; CBD COP – October 2020; CMS no dates). 4. Venue: the size of the venue was adequate to host all Congress elements and took note that France has committed to make upgrades to the internet infrastructure and to make improvements to the buildings by the Congress 5. Security and the relative levels of risk. The committee was satisfied that France will make appropriate arrangements for the security of the Congress participants irrespective of the date at which Congress is held. 	<p>DEC</p> <p>C/94/GCC 13/3.1 (confidential) Appendices 1 (confidential) Appendices 2 (confidential) }</p>

	<p>6. The political interest of France and the desire to take leadership on Biodiversity issues. The GCC members noted the likelihood that through the formal negotiation process for CBD that key decisions are likely to have already being made.</p> <p>7. Accommodation: Sufficient hotel rooms in all categories available (budget to 5*) and have been blocked by Convention bureau. The GCC noted that there are no large hotel available in Marseille which would allow to accommodate all staff/all sponsored delegates in one facility. To date 1600 rooms have been blocked⁴.</p> <p>8. Visa regulations: France has a special visa procedure in place for major events to enable smooth process (invitation letter, participant list, focal point) and has offered a fast track process for sponsored delegates and visa upon arrival for them, if needed, provided IUCN makes available list to the respective consulates. The GCC noted the challenges faced by developing countries, particularly Africa in obtaining visa to the Schengen zone.</p> <p>GCC discussed the two dates proposed by the Host Country and took note of France's preference for June as well as the pros and cons presented by the Secretariat.</p> <p>The Committee acknowledged that in addition to the interest of the Host Country, it is critical to consider the interests of IUCN and the completion of the Agenda of Council on behalf of the IUCN members. This includes a process underway for the further improvement of IUCN's governance, the development of a Membership Strategy, and the revision of the motions process. Many of these activities require engagement of the membership and need to fit in the schedule of bi-annual meetings of Council making the time difference significant.</p> <p>Considering these factors and the technical report. The GCC recommends that we accept the proposal of France to host the World Conservation Congress. Further the GCC, after careful consideration, recommends the offered dates of 1-9 September 2018 to host the World Conservation Congress.</p> <div style="border: 1px solid black; background-color: #e0f0ff; padding: 10px;"> <p>DRAFT COUNCIL DECISION The IUCN Council,</p> <p>On the recommendation of its Governance and Constituency Committee,</p> <p>recognizing that a thorough selection process has been carried out and taking into account the proposal, the evaluation report, the draft Host Country Agreement, the recommendations from the candidate country and all other relevant facts,</p> <p>decides to accept the offer from the Government of France to host the IUCN Congress 2020 in Marseille between 1 to 9 September 2020.</p> </div>	
GCC/ 3.1	<p>Update on the implementation of the Guidelines for Sponsored Delegates at the 2016 Congress</p> <p><i>This item will be discussed at the next GCC Skype meeting (to be held at the beginning of June).</i></p>	
GCC/ 3.2	<p>Update of the motions process</p> <p>The Chair of the GCC Task Force (TF) to update the Motions Process, Tamar Pataridze, presented an update of the work undertaken by the TF.</p> <p>The Task Force had analysed the feedback received from IUCN Members and the Congress Resolutions Committee on the 2016 motions process and had begun the discussion of a number of issues to be considered for improving the motions process. The TF expects to finalize a set of proposals for the consideration of the GCC and Council in October 2018.</p> <p>The TF had examined and supported the timeline for the 2019-20 motions process which will start much earlier than in 2016 in order to make optimal use of the Regional Conservation Forums and to allow more time for the different phases of the electronic discussion and vote of motions prior to the 2020 Congress.</p>	<p>INF</p> <p>C/94/GCC/3.3 Motions process</p>

⁴ The Secretariat has subsequently determined that 2700 rooms are available in the private and public block, which the Secretariat considers sufficient.

	The Governance and Constituency Committee noted the progress presented by the GCC's Task Force to update the motions process and thanked them for their work to date.	
GCC/ 1.4	<p>2020 Congress Preparatory Committee <i>The secretariat will circulate the TORS for the Congress Preparatory Committee to the members of GCC and invite comments from the, within a two week period. If required the next GCC Skype meeting (to be held at the beginning of June) will discuss this issue.</i></p>	C/94/GCC/3.4 CPC
GCC 13/1.5.	<p>Appointment of an additional Councillor (Article 38, IUCN Statutes)</p> <p>Following a letter received from all the Members in Category C (IPOs) requesting Council to appoint an IPO member to Council, the IUCN Bureau discussed the issue at its meeting on the 29 April 2018 and requested the GCC to discuss this issue and make a recommendation to Council.</p> <p>The GCC Chair, based on the Statutes, proposed that the GCC takes a two-step process to decision-making and initiated the discussion regarding the appointment of a Councillor in conformity with Article 38 (f) of the IUCN Statutes.</p> <ol style="list-style-type: none"> 1. Taking into account the requirements of Article 38 (f) consider who to appoint as an additional Councilor based on the skills, qualifications and interest needed in Council. 2. Dependent on whether GCC decides to appoint an IPO, then to consider who should be appointed to this position. <p>In discussing 1, the Chair requested members to bear in mind that the Council has not discussed this issue. Following the discussion within GCC, it was decided that there was a need to appoint a Councillor and that this Councilor should represent the IPO group. The Chair of CEESP was offered the opportunity to share her views on why the IUCN Councilor should appoint an IPO member as the additional Councilor</p> <p>In making this decision, the group decided that no precedent was being set and decided that this must be communicated in writing to the IPOs and to Council. It was noted that the IPO category would, going forward given their recognition as a separate category in IUCN, be able to organise themselves to present a candidate for election at the next Congress.</p> <p>In discussing item 2, the GCC considered the candidate proposed by the IPO Members, Ramiro Batzín Chojj. The Chair highlight some considerations for the Group:</p> <ul style="list-style-type: none"> • The candidate is fully supported by the Members of the IPO category. They have chosen their own representative. • However, it would have been preferable to have a selection of CVs for the GCC to select from, as has been the case in ECOSOC, for example. • In addition, the Chair voiced her concern about the fact that the process took place without any reference to the GCC. No guidance was asked for on what they thought should be some criteria that could have been used (skill, gender, representation). The CEESP Chair acknowledged that this was an unfortunate oversight. <p>Members of the committee raised several concerns including that they would have liked to see in principle regional and gender considerations taken into account.</p> <p>Following discussion, the GCC agreed to recommend the appointment of Ramiro Batzín Chojj as an additional Councillor</p> <p>Based on the discussion and concerns raised in the committee, the Chair requested it be noted that for the next Council (2020- 2024), this should be an issue that is considered early and for which an analytical process is undertaken to find the gaps in Council.</p> <p>The Chair concluded that in the future, she would like to see more direct engagement with the GCC on constituency matters, from the Secretariat, and proposed the GCC recommend a process for the implementation of Article 38 (f).</p>	DEC/DIS

DRAFT COUNCIL DECISION

The IUCN Council,
On the recommendation of its Governance and Constituency Committee,

Requests the GCC to develop a proposal for Council to exercise its rights under Article 38(f) and make full use of the opportunity created by Article 38(f)

Requests the Director General and the Commissions to engage the GCC in matters related to constituency development.

Appoints Mr Francisco Ramiro Batzin Chojj (Guatemala) as additional Councillor in conformity with Article 38 (f) of the Statutes.



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International Union for Conservation of Nature

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Report of the Governance and Constituency Committee (GCC)



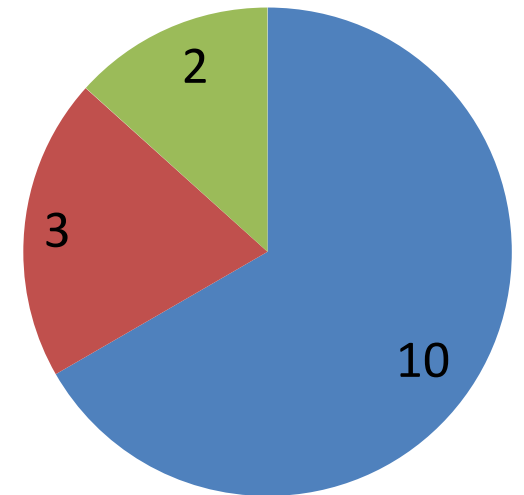
1. Members whose rights were rescinded by the 2016 Congress

Members's rights rescinded by 2016 Congress	161
Members withdrawn post-Congress	120
<i>Members no longer in rescission</i>	15
<i>Members with payment plans</i>	11
<i>Remaining Members</i>	15

Category	State	Total owed including 2017-2018	Dues pending up to and including
States	Central African Republic	CHF 41,390.00	2013
States	Congo	CHF 52,110.94	2012
States	Guinea	CHF 49,589.00	2012
States	Kenya	CHF 107,984.00	2012
States	Malaysia	CHF 440,175.00	2015
States	Nigeria	CHF 448,295.00	2013
States	Nauru	CHF 53,992.00	2012
States	Solomon Islands	CHF 61,488.00	2011
States	Seychelles	CHF 38,715.00	2014
States	Zambia	CHF 38,674.16	2014
Gov. agency	Australia	CHF 52,854.00	2013
Gov. agency	Congo, the Democratic Republic of the	CHF 17,509.88	2014
Gov. agency	Pakistan	CHF 14,148.00	2013
National NGO	Pakistan	CHF 4,930.26	2012
National NGO	Turkmenistan	CHF 4,987.93	2012


CHF 1,426,843.17 (781k invoiced)

15 Members remaining on the rescission list



- States
- Government agencies
- NGO

- Regional directors to upscale face-to-face engagement with these Members (mainly States) and to include Councillors in these efforts
- Report to GCC within 3 months and withdraw these Members if engagement fails

 GCC request: DG/Secretariat to inform IUCN Constituents when they are in the region for bilateral meetings in an effort to improve engagement on both sides.



2. Indigenous Peoples' organisations membership and representation in IUCN Council

Letter received from IPO Members

- Need for strengthened representation and participation of Indigenous Peoples within IUCN's governance, as well as the IPO in regions.
- IPO members request representation in Council

Article 38

38. The members of the Council are:

- (a) the President;
- (b) the Treasurer;
- (c) the Chairs of the Commissions;
- (d) the Regional Councillors;
- (e) a Councillor from the State in which IUCN has its seat, appointed by the Council, provided that one from that State has not been elected Regional Councillor; and

(f) one additional appointed Councillor, chosen by the Council on the basis of appropriate qualifications, interests and skills.

- Ramiro Batzin Chojoj was selected by all 17 IPO Members
- Process to be established for the implementation of Article 38 (f)

DRAFT COUNCIL DECISION:

The IUCN Council,
On the recommendation of its Governance and Constituency
Committee,

Requests the GCC to develop a proposal for Council to exercise its
rights under Article 38(f) and make full use of the opportunity created by
Article 38(f)

Requests the Director General and the Commissions to engage the
GCC in matters related to constituency development.

Appoints Mr Francisco Ramiro Batzin Chojoj (Guatemala) as additional
Councillor in conformity with Article 38 (f) of the Statutes.



Council Handbook

Performance Commitment signing ceremony



Thank you



94th Meeting of the IUCN Council, 29 April – 2 May 2018

PROGRAMME AND POLICY COMMITTEE (PPC)

Meeting of Sunday/Monday 29-30 April 2018

Report to Council

PPC members in attendance: Jan Olov Westerberg (Chair), Amran Hamzah, Angela Andrade, Peter Cochrane, Jonathan Hughes, John Robinson, Sean Southey, Ana Tiraa, Kristen Walker

Deputy Commission Chairs in attendance: Denise Antolini (WCEL), Ameyali Ramos (CEESP), Katalin Czippán (CEC)

IUCN Staff in attendance: Cyrie Sendashonga, Jane Smart, Stewart Maginnis, Nick Bertrand, Antonio Troya, Boris Erg, Alejandro Iza, Luther Anukur, Tom Brooks, Juha Siikamaki, Aliou Faye, Frank Hawkins, Alvaro Vallejo, Grethel Aguilar, Mason Smith, Aban Marker Kabraji, Max Mueller, Victoria Romero, Dao Nguyen, Olivier Hasinger, Maria Carreno Lindellen, Sonia Peña, Leonor Ridgway

Opening of the meeting, Sunday 29 April, 2018

The PPC Chair, Jan Olov Westerberg, opened the meeting and welcomed members of PPC and staff. He suggested going through the agenda as there were changes proposed and reminded PPC of its TORs and the focus of its work. The Chair highlighted two items which are significant for this PPC's session to focus on- the 2017 Annual Report of implementation of the IUCN Programme and the roadmap for the 2021-24 Programme.

PPC/1	<p>IUCN Annual Report 2017 (Incl. implementation of the IUCN Programme by the Secretariat and the Commissions)</p> <p><i><u>Purpose of the agenda item</u></i> The PPC reviewed the 2017 IUCN Annual Progress Report (<i>Incl. implementation of the IUCN Programme by the Secretariat and the Commissions</i>)</p> <p><i><u>Brief summary of the discussion</u></i> Nick Bertrand, Acting Head, Programme Monitoring & Evaluation made a presentation in which he highlighted the continued development of the Programme & Project Portal and key achievements, success stories and progress in implementing the Programme using a system of “traffic lights”, among other improvements and new features. He also announced the appointment of Charles Lor as the new Head of the Programme Monitoring, Evaluation and Risk Management Unit who will come on board as of 1 May 2018.</p> <p>The Chair opened the floor and then welcomed comments section by section.</p> <p>Several PPC members welcomed the progress made as shown in the report and commended the Secretariat for this work, the move from</p>	INF
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	<p>the simple story telling approach to showing impact, including the traffic light visual model, and recommended assessment of the reporting framework as it moves forward by the actual users to get the right balance between reporting and the “burden and bureaucracy” that might come with the exercise.</p> <p>PPC briefly discussed whether it was reason of concern that the level of indirect costs remained constant but increased as a % in 2017 as a result of a decline in overall expenditure. Even though this is an issue for the CFO to address, Secretariat staff present mentioned that this is actually work in progress.</p> <p>A PPC member suggested that more detail and attention should be given to the issue of work with Members and the nature of this interaction which often entails competition for funding and also complementarities beyond project implementation. This is particularly important in the context of the GEF and GCF. She wondered if IUCN has a strategy in this regard and also highlighted the costs to the institution for this move into wholesale and big initiatives (GEF/GCF) could be very high and should be considered given the limited funding environment with declining framework donor income.</p> <p>In the same vein, a suggestion was made to better characterize the different delivery models and the requests that IUCN is getting from donors or State members especially as regards the category of initiatives labelled as ‘non-aligned stand-alone projects’. Another suggestion was made to look at the correlation and interplay between the project portfolio as reported against its Programme targets, the Aichi Targets and the SDGs in order to capture the overall picture.</p> <p>The suggestion was made that if this report is available to Members and others outside IUCN then some commentary on issues that, without commentary, might cause concern – such as the figures on gender balance, and the level of indirect costs - would be prudent, e.g. whether and how the issue is being addressed.</p> <p>In closing, the PPC Chair invited all to reflect on the way we all communicate about IUCN’s work as One Union (One Programme Charter), and address progress reports in the future - as well as the next Programme’s planning - with this vision in mind.</p> <p><u>Conclusion</u></p> <p>The Programme and Policy Committee, takes note of the IUCN Annual Progress Report 2017 and welcomes progress made.</p>	
PPC/2	Specific Programme and Policy issues	
PPC/2.1	<p>Update on the implementation of the 2016 Congress Resolutions and Recommendations</p> <p><u>Purpose of the item</u></p> <p>The PPC is invited to take note of the Report on the progress in the implementation of Resolutions and Recommendations and consider putting in place any necessary actions in order to further enhance the implementation of those Resolutions and Recommendations.</p>	INF

	<p><u>Presentation</u></p> <p>Max Mueller presented the 1st progress report on the implementation of the 2016 WCC Resolutions and Recommendations. He highlighted some of the challenges impeding the implementation of Resolutions and Recommendations, especially the funding challenges. He also outlined possible solutions that could be envisaged, including upfront at the time of submission of motions.</p> <p><u>Discussion</u></p> <p>There was some concern about the funding for implementing Resolutions including those which were Council-sponsored motions, (e.g. Resolution 6.058 on Natural Capital). The discussion centred on:</p> <ul style="list-style-type: none"> i) how to increase members' participation in the implementation and reporting of Resolutions: one commission Chair suggested involving the National and Regional Committees and establishing links between the themes of the Resolutions; ii) opportunities for Council to address the lack of political will: aware that there might be some sensitive issues, it would be appropriate to identify those Resolutions for which there are no efforts being undertaken and have the DG or the President address a letter on behalf of the Council to the political focal point; and, iii) how to secure funding for implementation: it was noted that the IUCN membership needed to be better informed about the purpose of Resolutions and that changes need to be introduced in the motions process that would allow to clearly distinguish motions related to policy from motions related to projects. Changes in the motions process should seek to bring forward the financial implications of effectively implementing the Resolutions. For the time being, a member of the Committee suggested reaching out to Members that are already involved or that are interested in the implementation of some of the Resolutions, to help provide some funding. It was also suggested for future Resolutions that information regarding sponsors, a timeline, and budget be readily available in the Resolutions and Recommendations Platform. <p><u>Conclusion</u></p>	
	<p>The Programme and Policy Committee takes note of the Report on the progress in the implementation of Resolutions and Recommendations adopted at the World Conservation Congress in Hawaii, 2016.</p>	
<p>PPC/2. 2</p>	<p>Update on the post-2020 global biodiversity framework</p> <p>Jane Smart, Global Director, Biodiversity Conservation Group, made a presentation with an update on the post-2020 global biodiversity framework and IUCN's engagement.</p>	<p>INF</p>

	<p><u><i>Brief summary of the discussion</i></u></p> <p>PPC thanked and welcome the update, stated that IUCN has a tremendous opportunity to help shape the future biodiversity framework. PPC agreed with the idea of establishing science-based targets and encouraged IUCN to pursue this as its position evolves. IUCN needs to work on the details of how those targets might look like. IUCN should also reflect on how the next quadrennial Programme would link to this process and align efforts with the wider 2030 Agenda for Sustainable Development.</p> <p>A member of PPC reminded the Committee that it had postponed discussion on the establishment of a PPC Task Force for post-2020 and that it might be timely to consider that now, bearing in mind that there are other post 2020 related task forces in SSC and WCPA.</p> <p>The PPC continued this discussion on Monday 30 April.</p> <p><u><i>Conclusion</i></u></p> <p>The PPC decided to create a “core group” to look into the establishment of a “Post-2020 Task Force”, to start working on its potential Terms of References and composition. This group will present its proposal to be discussed at the next Council meeting in October 2018.</p> <p>John Robinson, Jonnie Hughes, Ana Tiraa, Kristen Walker and Angela Andrade volunteered to form part of this initial small core group. The TF to be formed later should also include other Council Members who are not in the PPC.</p>	
PPC/2.3	<p>Update on IPBES-IUCN partnership</p> <p><u><i>Purpose of the item</i></u></p> <p>PPC was provided with an update by the Secretariat on the IPBES-IUCN partnership</p> <p><u><i>Presentation</i></u></p> <p>Thomas Brooks, Chief Scientist, gave an overview of the functions of IPBES and IUCN's engagement with this relatively new international body. He highlighted that, given the main functions of IPBES (support knowledge creation, assessments, capacity building and policy support) are very similar to the work that IUCN is doing, it is important to build on synergies and try to avoid duplication of efforts and competition. What makes IUCN different compared to IPBES is that IUCN implements action on the ground and has a unique governance structure made of governmental and non-governmental membership, which empowers a variety of stakeholders, while IPBES's governance is wholly intergovernmental.</p> <p>IUCN has institutionalized its engagement with the IPBES through a MOU and a number of supplemental agreements. In this context IUCN is facilitating the stakeholder engagement process in order to bring non-governmental views to the IPBES. One IUCN staff member seconded by the Government of France is shared on a part time basis with the IPBES Secretariat to work especially on furthering</p>	INF

	<p>stakeholder engagement in IPBES processes.</p> <p>IUCN is also actively involved in contributing to assessments developed by IPBES. In 2018 five such assessments were approved (4 regional and one on land degradation and restoration). A number of IUCN staff members were involved as authors in each regional assessment and 20% of involved experts are IUCN Commission Members. The next assessments to be developed will be a global assessment, and thematic assessments on values and valuation, sustainable use and invasive alien species.</p> <p><u>Discussion</u> In the discussion that followed, PPC Members questioned how the synergies between the work on the assessment on values and valuation and IUCN's Resolution 062 on Natural Capital could be leveraged. In this context it was also highlighted that a thematic group in CEESP on values and valuation might be established, which could contribute to this work.</p>	
PPC/2.4	<p>Update on IUCN's Policy on Gender Equality</p> <p><u>Purpose of the item</u> PPC was provided with an update by the Secretariat on IUCN's Policy on Gender Equality.</p> <p><u>Presentation</u> Stewart Maginnis, Global Director, Nature Based Solutions Group, provided a brief update on the gender policy, which is currently being developed in consultation with IUCN Gender Focal Points. It will be based on the existing revised gender policy approved by Council in 2007 (original version is from 1998). He highlighted that the work was well underway and stressed that the policy is focusing on the programmatic side of gender work and is not an HR policy.</p> <p><u>Discussion</u> During the discussion, the PPC inquired whether the document will be tabled at its next meeting. The Secretariat assured that it should be available then and mentioned that it is not being rushed in order to ensure whatever is finalized is actually implementable.</p>	INF
PPC/3	<p>Follow up on assignments</p> <p>The discussion on this item centred on providing updates on assignments considered by PPC at its last meeting (Council #93) especially in regard of the 2016 WCC Resolutions which make reference to Council.</p> <p>a. <u>Biodiversity & Human Health (DEC C/92/8 annex 7 PPC report p.5)</u></p> <p>Peter Cochrane updated PPC on key developments in this area that can be summarized as follows:</p> <ul style="list-style-type: none"> • CBD SBSTTA21 had issued a paper on biodiversity and 	INF

	<p>health and discussion was held on this issue. For CBD COP14 biodiversity and health will be again on the agenda and there are moves to invite Health Ministers to attend</p> <ul style="list-style-type: none">• World Health Organisation will hold its World Health Assembly (May 2018) – first ever agenda paper on Biodiversity and Health, includes reference to nature-based solutions; IUCN DG is seeking to have IUCN representation and participation for this item• IUCN Commissions have actively worked or are working on this issue. Examples provided include the SSC Wildlife Health Specialist Group - active with OneHealth and EcoHealth initiatives (a key element in the CDB SBSTTA paper) and the new WCPA Health and Wellbeing Specialist Group <p>Peter also mentioned that both the WCC 2020 and the planning for the IUCN Work Programme 2021-2024 provide good opportunities to connect to this issue.</p> <p>The Chair of CEM informed PPC that CEM has started to develop a Task Force on this topic; The Chair of CEESP has also been discussing incorporating health dimensions in its work; The CEC Chair added that health is also one of the axes of Nature for All initiative; Jane Smart mentioned that SSC has also a Medicinal Plants Specialist Group that is working with WHO.</p> <p>The Chair of CEESP suggested carrying out sampling of IUCN Members' work on biodiversity and human health to have a full picture of the work we're doing on this issue. The Chair cautioned all about flooding Members with too many requests.</p> <p><u>b. WCC-2016-Res-018</u></p> <p>Jane Smart provided an update on Resolution 018 (IUCN Environmental Impact Classification for Alien Taxa) and recalled progress made. She mentioned the consultations that have been carried out in follow-up to the Resolution. Currently, the team is addressing responses received.</p> <p><u>c. WCC-2016-Res- 030 and 075</u></p> <p>Kristen Walker provided an update on Resolutions related to indigenous peoples' issues. Regarding Resolutions 030 and 075 she underscored the important work done and mentioned that as result of consultations carried out with indigenous peoples, a proposition will be brought forward to the full Council for a representative/ formal position to be established in Council. With regards to Resolution 080, she mentioned ongoing collaboration with ORMACC. Finally, regarding Resolution 060 (Primary Forests) she mentioned engagement of CEESP and indigenous peoples' representatives.</p> <p><u>d. WCC-2016-Res-045</u></p> <p>Stewart Maginnis complemented the information provided on Resolution 060 indicating that they are currently building the membership of a Task Force with the idea of having a face to face meeting at the end of the year. He also mentioned that primary forests are actually one of the 3 business lines of the Forest Programme. The Chair of</p>	
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	<p>CEM recommended reaching out to CEM for this work.</p> <p><u>e. WCC-2016-Res-086</u> Cyrie Sendashonga made an update on progress made in implementing Resolution 6.086 on synthetic biology. She mentioned the establishment of the Secretariat and experts Task Force and Technical Sub-group that will be in charge of carrying out the assessment which will inform the development of the policy. She informed the PPC that the Task Force had its first meeting two weeks ago in Cambridge, UK, and that all of the 3 main objectives for the meeting were fulfilled (getting the TF members to know each other, develop a draft outline for the assessment and the assignment of responsibilities). The next meeting of the technical sub-group will take place in July in Brazil to develop the first draft of the assessment.</p> <p>Cyrie further outlined the process for Council to engage in the implementation of the Resolution and mentioned that the DG is expected to present to PPC/Council a draft policy on synthetic biology based on the recommendations of the assessment referred to in operative paragraphs 1 and 2 of the Resolution. She concluded by saying that it is likely that PPC will receive the draft policy at the beginning of 2019 to take it forward as appropriate.</p> <p><u>f. WCC-2016-Res-001</u> In addition to above updates, Max Mueller briefly updated PPC on progress in implementing Resolution 001 on retirement of Resolutions. He mentioned that the initial assessment with a preliminary classification will be presented at the 95th meeting of Council for a decision to be taken at the 96th Council.</p> <p><u>g. DEC C/92/8 annex 7 PPC report p.7 – Council focal persons</u> The Chair of PPC updated the Committee about the discussions held by the Bureau regarding adopting some generic wording to appoint focal points of Council. They looked at TORs of the Oceans Focal Point for guidance. It is expected that a formal decision be taken by this Council.</p>	
PPC/4	Reports from Task Forces established by the PPC	
PPC/4. 1	<p>Climate Change task Force</p> <p><u>Presentation:</u></p> <p>Angela Andrade, Chair of the Climate Change Task Force (CCTF) presented a brief update of the work of the Task Force since its establishment. The Task Force has met four times both virtually and personally to discuss a number of items including IUCN's engagement in climate-related arenas and activities under the CCTF. The Chair of the CCTF highlighted the 10th anniversary of the Ecosystem-based Approaches (EbA) and the relevance of IPBES' assessments and other information that could improve IUCN's key messages on climate change and help in bridging biodiversity and climate change.</p> <p>Further the CCTF welcomed the mapping carried out by the Secre-</p>	INF

	<p>tariat of IUCN's work on climate change (covering Secretariat and Commissions) and encouraged its continuation.</p> <p><u>Discussion:</u></p> <p>After the presentation, it was suggested that it would be useful to have a theory of change added to the mapping and the Chair of CCTF signalled that the mapping of IUCN's work on climate change would extend to Members in the future, including the adoption of impact indicators of IUCN's overall work on climate change.</p>	
<p>PPC/4. 2</p>	<p>Private Sector task Force</p> <p><u>Presentation:</u></p> <p>Jonathan Hughes, Chair of the Private Sector Task Force (PSTF), presented a summary of the PSTF meeting held on Sunday 29 April. He announced that Sean Southey has been formally added to the PSTF.</p> <p>One of the main discussion points was how PSTF could work more strategically with the Secretariat to explore opportunities of engagement at sector level, such as, but not only, the finance and insurance sector. Questions were also asked on Lacoste sponsorship and the need to clarify when Secretariat should inform PSTF of upcoming engagements to PSTF in the future.</p> <p><u>Discussion</u></p> <p>Members of the PPC supported the idea of IUCN taking on a more proactive stance with business and echoed the interest in providing more guidance and assistance to China for their Belt and Road Initiative which is one of the most ambitious infrastructure initiatives at this time.</p> <p>It was also mentioned that the post-2020 process should be used to make some bold statements on biodiversity and come with recommendations of how the private sector should be engaged.</p> <p>A member of PPC asked if IUCN could have a role in looking at the Corporate Social Responsibility (CSR) capabilities of various companies and provide some sort of certification of this.</p>	<p>INF</p>
<p>PPC/4. 3</p>	<p>Urban Task Force</p> <p><u>Presentation</u></p> <p>The Chair of the Urban Task Force (UTF) highlighted that in principle seed funding for the work on the Urban Alliance has been secured for three years (still confidential) This would fund the initial development of the IUCN Urban Alliance and contribute to achieving three outcomes:</p> <ul style="list-style-type: none"> - Global platform for discussion of urban - nature issues - Catalyse action on through sharing best practice - Development of a knowledge product (A dashboard of indicators. Current working title: cities and nature index) <p>The Chair UTF highlighted that this constitutes a good example of</p>	<p>INF</p>

	<p>the one Programme approach, with Commissions, Secretariat working together with a Member..</p> <p>He stressed that a number of IUCN Members and IUCN Commissions groups are already actively working on cities related matters and highlighted a number of those initiatives. Therefore it is crucial that the Urban Alliance will play to IUCN's niche, and focus on key thematic areas where added value and focus is critical. The link between human health and healthy urban ecosystems was mentioned in this context.</p> <p>Regarding the potential policy function, the Urban Alliance would be feeding into international processes like the post-2020 process and the SDGs follow-up mechanism given the relevance for SDG 11 (Sustainable Human Settlements and Cities).</p> <p>The Chair UTF concluded by bringing the <u>decisions</u> of the task force to the attention of PPC:</p> <ul style="list-style-type: none"> - The invitees for Urban Alliance strategic board were proposed and agreed (to be kept under 10, so as to be effective) - Agreed to hold the first meeting in autumn 2018 to (possibly) coincide with CBD COP14 - Called to ensure an Urban/Sustainable Cities pavilion at the next WCC <p><u>Discussion</u></p> <p>The discussion focused on the possible connection between this work and the work on IUCN Resolution WCC 2016 Res 003 on <i>Including regional governments in the structure of the Union</i> and the potential sensitivities this might raise with specific IUCN Members that have a similar focus.</p> <p>It was stated that there is a certain discomfort in the respective concerned IUCN Member and that this needs to be handled accordingly. In this regard, the synergies would have to be captured and full participation by this Member should be ensured, possibly by including a representative of this Member in the Urban Alliance Strategic Board.</p> <p>Lastly it was discussed to frame the work of the Urban Alliance around the wording of SDG11.</p>	
PPC/5	<p>Council's Global Oceans Focal Person</p> <p><u>Purpose of the agenda item</u></p> <p>The PPC was invited to consider the draft terms of reference (ToRs) for the IUCN Council Global Oceans Focal Person, to provide feedback and comments on the draft ToRs and subject to any amendments, to adopt them.</p> <p><u>Brief summary of the discussion</u></p> <p>Peter Cochrane, appointed by IUCN Council as the IUCN Council Global Oceans Focal Person following IUCN regulation "45bis", presented the draft ToRs and briefly introduced why Oceans conservation is so central to IUCN mission and why this focal person with</p>	DEC

	<p>clear ToRs is so needed. The main arguments were that this role is needed to ensure strong focus, coherent body of work on ocean issues within IUCN and to raise the profile and understanding of the oceans issues in Council and to external stakeholders.</p> <p>The draft ToRs have been very well received by PPC members and only few comments were raised by PPC members such as the suggestion to give special attention to global policy frameworks (i.a. Aichi Targets and the SDGs) in the draft ToRs and to recognize in the ToRs that Oceans issues are cross-cutting to the different parts of IUCN (Secretariat, Commissions, Members).</p> <p>PPC then heard a presentation from Carl Gustaf Lundin, Director of the Global Marine and Polar Programme (GMPP) who highlighted the current portfolio of work of the IUCN GMPP and provided an overview of the main current major conservation issues and challenges for Oceans (such as ocean acidification, ocean deoxygenation, marine plastics, trends of carbon sequestration in Oceans, etc.).</p> <p>During the discussion, it was pointed out also that there is a lot of potential for increased ARO-ORO regional collaboration on fisheries/fishing issues and on Marine plastics among other focal areas such as disasters risk reduction and the dependence on oceans. PPC members underscored that there is huge potential to develop more synergies at the Union level.</p> <p>It was also suggested that the Oceans Focal Person should invite collaboration with other Councillors who have an interest in oceans issues. Peter Cochrane indicated that he would propose a 'friends of the oceans focal point' network to enable interested Councillors to be more closely involved, but also that he did not want to duplicate existing networks.</p> <p><u>Conclusion</u></p> <p>The PPC decided to adopt the draft terms of reference for the IUCN Council Global Oceans Focal Person.</p> <p>The Programme and Policy Committee, approves the terms of reference for the IUCN Council Global Oceans Focal Person.</p>	
PPC/6	Other issues announced in advance	
PPC/6.1.	<p>Discussion of a roadmap for the development of the IUCN Programme 2021-24</p> <p>The Director General, Inger Andersen, joined PPC and introduced the topic, mentioning some of the brainstorming that has been initiated at the Secretariat level and with Commission Chairs. She highlighted these are very preliminary conversations to animate everyone to think creatively.</p> <p>She highlighted also that there are certain realities in our Union that won't shift, e.g. work on core conservation issues, governance and rights or nature based solutions work. But she invited PPC to think</p>	INF

	<p>about what we want to have achieved by 2024 and have future discussions also on drivers of loss and drivers of solutions, inter alia, issues such as: climate change, urbanization, food production, conflicts, health, oceans degradation, etc. She also highlighted three inroads that can provide additional context in developing the next quadrennial IUCN Programme, namely: the IUCN Resolutions, the Monitoring and Evaluation learning framework and possibly the Congress Forum discussions.</p> <p>The DG sought Councillors' views on Members' engagement, and signalled that it might be more appropriate to have Members early in the process comment on a basic construct than to co-draft and respond to a 50+ pages long document. In any case, as was done in the past, it is anticipated that the early draft of the Programme will be discussed in the Regional Conservation Fora. Furthermore, depending on the recommendation that the GCC Task Force on the Motions Process, the timeline of the development of the draft Programme could also be adjusted to fit the needs of the motions' submission process.</p> <p><u>Presentation</u></p> <p>Cyrie Sendashonga presented an overview of the process taken to develop and consult the 2017-2020 IUCN Programme in 2015/2016 and illustrated a timeline that could be considered for the development of the 2021-2024 Programme based on past experiences and once some of the determining factors will be known (e.g. date of the 2020 WCC and timeline of the motion process relative to how Members may wish to input in the development of the next Programme). She gave examples of some steps that could be adjusted such as: 1) Situation Analysis (necessity, timing, scope); 2) Enhancing engagement of Members in design, implementation and reporting and, 3) Timing of the external review and reflection of its findings in developing the next Programme.</p> <p><u>Discussion:</u></p> <p>From the discussions, the idea of a "basic construct" and consulting Members at an early stage was strongly supported and it was agreed that this could enhance Members' engagement and sense of ownership. Some of the mechanics to execute this idea include sending out a "construct" with top targets and develop the Programme from there, and maybe work through National and Regional Committees where such are established.</p> <p>It was also noted that the Programme needs to play to the IUCN niche and core strengths: (i) convening power (ii) Scientific credibility, knowledge creation and policy influencer and (iii) catalyst for projects and thought leading role. A Councillor indicated that the PPC could also play a part in the development of the Programme and provide strategic inputs both to the process and the substance.</p> <p>Regarding the situation analysis it was mentioned that it might not be necessary to develop a new one but that attention could instead be given to existing assessments from other international bodies, including IPBES assessments, the UN High Level Political Forum synthesis documents on the progress in implementation of the different SDGs, and various other reports and think pieces such as those</p>	
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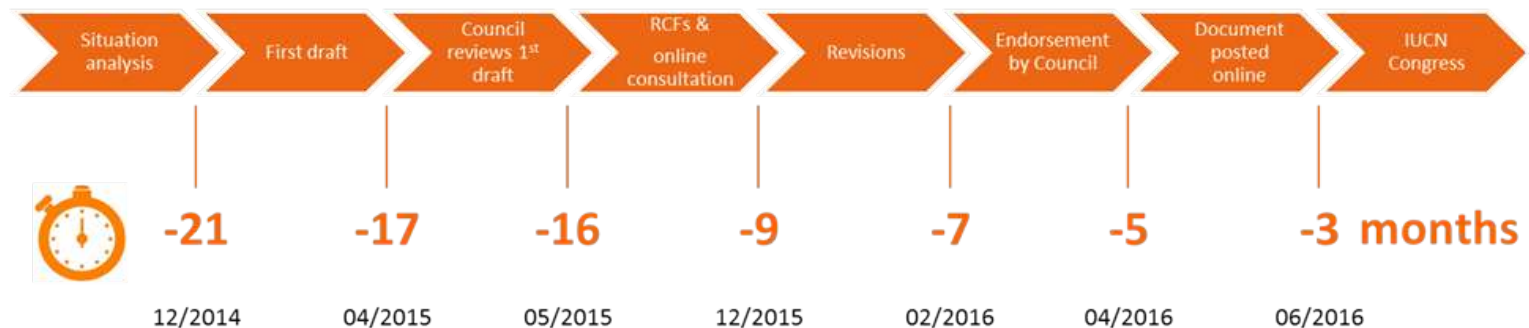
	<p>produced by the World Economic Forum.</p> <p>The discussion also touched upon potential building blocks of the Programme and their alignment with the SDGs by developing a coherent narrative.</p> <p>In summary, the PPC:</p> <ul style="list-style-type: none"> - Endorses the idea of a 'basic construct' model, noting that at this stage there is no clear understanding what the construct might look like - Considers as important early communication about roadmap and Member engagement in the different phases of the process - Stresses, the need to build early consultation with IUCN Members on the construct/building blocks - Notes that the timeline is doable independent of dates of the next WCC. <p><u>Conclusion:</u></p> <p>In the next steps, the Secretariat and Commission Chairs will work jointly to present a construct for discussion to PPC at the 95th Council meeting. After that, there can be agreement on steps forward on how to consult Members, taking into account also the timeline for the 2020 Motions</p> <p>Before moving into AOB, the Chair read out a message sent by Councillor Carlos Durigan with <i>Recommendations expressed by Members from South America for the process of setting up the IUCN Programme 2021-2024</i>. The communication was circulated to the PPC members. The PPC acknowledged receipt of the message and thanked Carlos for transmitting it.</p>	
<p>PPC/6. 2</p>	<p>Any other business</p> <p>Two issues were added by WCEL.</p> <ol style="list-style-type: none"> 1. Global Institute of Prosecutors for the Environment 2. Brasilia Declaration of Judges on Water Justice <p><u>Brief summary of the discussion</u></p> <p>Antonio Benjamin, Chair of WCEL, presented the two proposals to the PPC members, provided background on both the Global Institute of Prosecutors for the Environment and on the Brasilia Declaration of Judges on Water Justice. Only a few questions were raised by PPC members and the two proposals received support from PPC members.</p> <p><u>Conclusion</u></p> <p>The PPC endorsed the two proposals made by the WCEL.</p> <div style="background-color: yellow; padding: 5px;"> <p>DRAFT COUNCIL DECISIONS</p> <p>a) The IUCN Council,</p> </div>	<p>DEC</p>

	<p>On the recommendation of the Programme and Policy Committee, welcomes and endorses the proposal of the World Commission on Environmental Law (WCEL) for the establishment of a Global Institute of Prosecutors for the Environment and encourages all constituent parts of the Union, including IUCN Members, to contribute to the development of the Institute and to work with the WCEL and its partners as it implements this undertaking.</p> <p>b) The IUCN Council, On the recommendation of the Programme and Policy Committee, welcomes and endorses the recommendation of the World Commission on Environmental Law (WCEL) to support the Brasilia Declaration of Judges on Water Justice [10 Principle Declaration] adopted at the 8th World Water Forum held in Brasília (Brazil) on 21 March 2018 and encourages all constituent parts of the Union, including IUCN Members, to promote the Declaration.</p>	
<p>The Chair closed the meeting at 5:00 p.m.</p>		



Agenda item 7.3 – Report of the PPC

Programme 2021-2024: high level timeline



PPC agenda item 6.2 Any other business

DRAFT COUNCIL DECISION (DEC)

The IUCN Council,

On the recommendation of the Programme and Policy Committee,

welcomes and endorses the proposal of the World Commission on Environmental Law (WCEL) for the establishment of a Global Institute of Prosecutors for the Environment and **encourages** all constituent parts of the Union, including IUCN Members, to contribute to the development of the Institute and to work with the WCEL and its partners as it implements this undertaking.

PPC agenda item 6.2 Any other business

DRAFT COUNCIL DECISION (DEC)

The IUCN Council,

On the recommendation of the Programme and Policy Committee,

welcomes and endorses the recommendation of the World Commission on Environmental Law (WCEL) to support the **Brasilia Declaration of Judges on Water Justice [10 Principle Declaration]** adopted at the 8th World Water Forum held in Brasília (Brazil) on 21 March 2018 and **encourages** all constituent parts of the Union, including IUCN Members, to promote the Declaration.

Recommendations of the Ethics Committee of Council

DRAFT COUNCIL DECISION

The IUCN Council,

On the recommendation of its Ethics Committee,

Adopts the Conflict of Interest Disclosure Form (Annex 1);

Adopts the amendments to the Code of Conduct for IUCN Councillors pertaining to the disclosure of interests (Annex 2);

Requests Council members to return the Conflict of Interest Disclosure Form duly filled out and signed by 2 June 2018.



Conflict of interest disclosure form

Introduction

The Code of Conduct for IUCN Councillors (hereafter “Code of Conduct”) requires each Council member to *“compile and submit an annual disclosure form to the Chairperson of the Ethics Committee. The information to be provided in such a disclosure form shall be requested in a standard format determined by the Ethics Committee.”*

The Code of Conduct further specifies that *“Failure by any Council member to disclose potentially relevant interests in the disclosure form will be considered by the Ethics Committee, which if necessary, shall report back to Council with its recommendations.”*

All Council members are kindly requested to return the present form electronically or by hard copy addressed to the Chair of the Ethics Committee of the IUCN Council c/o Secretary to Council (**email address**) by (**deadline**) or before the end of the Council meeting during which the form has been distributed. Hard copies should be sent under a sealed envelope marked “Interest Declaration Form” by postal mail to (**address**).

The disclosure forms will not be distributed outside the Ethics Committee whose members will use the information only for the purpose of carrying out their mandate under the Code of Conduct.

If you have any questions, please contact the Chair of the Ethics Committee (**name, email address and telephone number**).

Conflict of interest according to the Code of Conduct for Councillors

In the Code of Conduct, “Conflict of Interest” means *“a situation in which a Council member holds or assumes a role or engages in a relationship with a third party, in a context other than that member’s role in and responsibilities to IUCN, which impairs or reduces, or appears to impair or reduce, that member’s capacity to act in the best interest of IUCN.”*

The Code of Conduct further specifies that: *“Council members should arrange their private and other professional affairs in a manner that will prevent actual, perceived or potential conflict of interest. Whenever a Council member is in a conflict of interest situation as defined herein, that Council member is under an affirmative duty of disclosure to the Ethics Committee. [...] If any such conflict arises, Council members must promptly inform the Council Ethics Committee (and if appropriate the Chair of the meeting where the conflict arises) and withdraw from participation in decision-making connected with the matter. If the conflict is apparent or potential rather than actual, Council members should seek the advice of the Ethics Committee of Council about whether they should recuse themselves from the situation that is creating the appearance of or potential for conflict.”*

Definitions

The Code of Conduct defines:

“Close relatives”: include your spouse, domestic partner, siblings, parents and grandparents, children, grandchildren, and those of your spouse or domestic partner.

“Other related parties” as:

- Any partnership, limited liability company or professional corporation in which a Council member or her/his close relative(s) is a partner, member or shareholder, respectively, with direct or indirect ownership interest in excess of 5%;
- Any entity (governmental, non-governmental, or corporate) in which a Council member serves as an officer, director / board member, trustee, or key employee;
- Any entity in which a Council member and/or her/his close relative(s) own more than 35% of the combined voting power, profits interest, other ownership or beneficial interest, whether directly or indirectly, individually or collectively.

“Business transaction”: Business transactions include, but are not limited to contracts of sale, leases, loans, and arrangements for the performance of services (including consultancies).

Disclosures

Please provide the information requested below for the calendar year ending (**date**).

If there is nothing to disclose, please write “N/A”. Attach additional pages if necessary to provide a complete response.

Return the present form electronically or by hard copy addressed to the Chair of the Ethics Committee of the IUCN Council [*c/o Secretary to Council?*] (**email address**) by (**deadline**). Hard copies should be sent under a sealed envelope marked “Interest Declaration Form” by postal mail to (**address**).

A. Identify any business transaction in which you or a close relative or other related party of yours engaged with IUCN or any of IUCN’s components¹:

B. Identify any other role you hold or assume, or any other relationship with a third party, in a context other than your role in and responsibilities to IUCN, which impairs or reduces, or appears to impair or reduce, your capacity to act in the best interest of IUCN:

I hereby affirm that, to the best of my knowledge, this annual disclosure statement is correct and complete. I also hereby acknowledge my obligation to notify the Ethics Committee of the IUCN Council promptly if at any time any of the facts stated above change.

Name:

Date:

Signature:

¹ “Components” in the sense of Article 15 of the IUCN Statutes comprise: the World Conservation Congress, the Council, the National and Regional Committees and Regional Fora of Members, the Commissions and the Secretariat (including its regional, country and out-posted offices).

Amendments to the Code of Conduct for IUCN Councillors

1. In PART I – Definitions, add the following clauses:

“Close relatives” including spouse, domestic partner, siblings, parents and grandparents, children, grandchildren, and those of the spouse or domestic partner.

“Other related parties” means:

- Any partnership, limited liability company or professional corporation in which a Council member or her/his close relative(s) is a partner, member or shareholder, respectively, with direct or indirect ownership interest in excess of 5%;
- Any entity in which a Council member serves as an officer, director, trustee, or key employee;
- Any entity in which a Council member and/or her/his close relative(s) own more than 35% of the combined voting power, profits interest, other ownership or beneficial interest, whether directly or indirectly, individually or collectively.

“Business transaction: business transactions include, but are not limited to contracts of sale, leases, loans, and arrangements for the performance of services (including consultancies).

2. In PART IV – Conduct, section a. Disclosure of Interests:

- Amend the following paragraph as follows:

Each Council member shall compile and submit an annual disclosure form to the Chairperson of the Ethics Committee. The information to be provided in such a disclosure form shall be requested in a standard format determined by the Ethics Committee. The Conflict of interest disclosure form approved by the Ethics Committee of Council is hereafter attached as Annex 2 and constitutes an integral part of the present Code of Conduct. Disclosure forms and relevant data contained therein will be compiled by the Ethics Committee or any other person to whom the Committee delegates this responsibility. Failure by any Council member to disclose potentially relevant interests in the disclosure form will be considered by the Ethics Committee, which if necessary, shall report back to Council with its recommendations.

3. In PART IV – Conduct, section b. Conflicts of Interest:

- Amend the following paragraph as follows:

Council members have a duty to avoid any conflict of interest situation involving them, individually or directly, as well as their close relatives or other related parties. If any such conflict arises, Council members must promptly inform the Council Ethics Committee (and if appropriate the Chair of the meeting where the conflict arises) and withdraw from participation in decision-making connected with the matter. If the conflict is apparent or potential rather than actual, Council members should seek the advice of the Ethics Committee of Council about whether they should recuse themselves from the situation that is creating the appearance of or potential for conflict.

IUCN, INTERNATIONAL UNION FOR CONSERVATION OF NATURE
64th Meeting of the Finance and Audit Committee
29-30 April 2018

Report of the Sub-Committee on Councillors' Travel

Origin: Chief Financial Officer

Action requested:

The Finance and Audit Committee is asked to review the Report of the Sub-Committee on Councillors' travel and make a recommendation to Council on the provision of a budget for Councillors' travel.

Background

In accordance with Council decision C/93/5 (November 2017), the Sub-Committee was tasked with:

Terms of reference

1. To review the legal and governance implications, including benchmarking against other NGO's, international organizations similar to IUCN, and to assess funder views of IUCN providing funds for Councillors to travel within their region and report back to the FAC, which will then report back to the Bureau and to Council.
2. If a decision is made to proceed, to establish criteria and process to guide it's application.

The members of the Sub-Committee were:

Councillors:

Rick Bates (acting Treasurer)

Norbert Baerlocher

Malik Amin Aslam Khan

Secretariat:

Mike Davis (CFO)

Aban Marker Kabraji (Regional Director Asia)

The Sub-Committee expects to complete its work in a final meeting on 29 April 2018. This will include finalizing its recommendation to the FAC.

Following discussion by the FAC the FAC will then make a recommendation to Council.

Report of the FAC Sub-committee on Councillors' Travel

Final report (Draft 24 April 2018)

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A. Introduction

This report covers the work of the FAC Sub-Committee on Councillors' travel.

In accordance with Council decision C/93/5 (November 2017), the Sub-Committee was tasked with:

Terms of reference

- a) To review the legal and governance implications, including benchmarking against other NGO's, international organizations similar to IUCN, and to assess funder views of IUCN providing funds for Councillors to travel within their region and report back to the FAC, which will then report back to the Bureau and to Council.
- b) If a decision is made to proceed, to establish criteria and process to guide it's application.

The members of the Sub-Committee were:

Councillors:

Rick Bates (acting Treasurer)

Norbert Baerlocher

Malik Amin Aslam Khan

Secretariat:

Mike Davis (CFO)

Aban Marker Kabraji (Regional Director Asia)

The Sub-Committee was assisted by Sandrine Friedli Cela (IUCN Legal Advisor)

The Sub-committee met on: 7 December 2017, 10 January 2018, 16 April 2018 and 29 April 2018.

The work of the Sub-Committee comprised:

- A benchmarking with organisations having a similar structure to IUCN
- A review of the IUCN statutory texts
- A review of Councillors current participation in non-statutory IUCN meetings and funding mechanisms for such participation
- An analysis of possible options for providing a budget for Councillors' travel for non-statutory IUCN meetings

B. Benchmarking

The following organisations were selected for benchmarking:

1. The International Federation of Red Cross and Red Crescent Societies (IFRC)
2. Canadian Wildlife Federation
3. WWF International
4. European Environmental Bureau (EEB)

1. International Federation of Red Cross and Red Crescent Societies (IFRC)

a) Structure

The structure of the IFRC has many similarities with IUCN. It is a membership organisation made up of national Red Cross and Red Crescent Societies. The highest governing body is the General Assembly of national societies which meets every 2 years. In between General Assemblies it is governed by a Governing Board (equivalent to IUCN Council).

The Governing Board is composed of:

- The President;
- The four Vice-Presidents;
- The ex officio Vice-President (Switzerland);
- Twenty National Societies;
- The Chair of the Finance Commission;
- The Chair of the Audit and Risk Commission
- The Chair of the Youth Commission.

Election process:

The President, Vice-Presidents, 20 National Societies are elected by the General Assembly of the membership. The Chairs of the Finance commission, and Audit and Risk Commissions are appointed by the General Assembly while the Chair of the Youth Commission is elected.

In respect of the position of vice-president, the General Assembly elects the National Societies – one for each statutory region – which then appoint the Vice-Presidents. They have specific responsibilities.

Extract from Statutes

The elected Vice-Presidents shall:

- *ensure communication on governance matters between the General Assembly, the Governing Board and the National Societies in their regions;*
- *promote the decisions of the General Assembly and Governing Board, particularly in their regions; and*
- *in close coordination with the Secretary General, support National Societies in their regions and globally with integrity challenges as requested by the National Society itself or the Compliance and Mediation Committee.*

Annual budget of organisation: CHF 350m

b) Travel arrangements

The following travel arrangements are in place:

President:

- Representational role
- Trips agreed in consultation with the Secretariat
- Sometimes on the initiative of the Secretariat; sometimes on the initiative of the President
- A travel budget is provided, managed by the Head of Governance

Vice Presidents

- Role in dissemination of decisions and bringing issues from the membership to the Governing Board
- Small travel budget
 - Trips agreed in consultation with the Secretariat
 - President signs off on requests
 - Budget managed by Head of Governance
- May represent the President in which case budget of President pays

Board members

- No travel budget
- May be requested by the Secretariat to attend an event if they have specific relevant expertise.
 - In such cases, Secretariat prepares briefing pack, speaking notes, etc.
 - Normally funded from programme budgets

Other

- Someone from a member National Society could also be requested to attend a specific event if they have specific expertise
- Same process as for Board members

2. Canadian Wildlife Foundation

a) Structure

CWF is a national non-government organization with a portion of Board of Directors from specified regions of the country and a second portion comprised of directors-at-large, who bring specific needed skills to the Board.

Executive Committee:

- President
- Past President
- 1st Vice President
- 2nd Vice President
- Treasurer
- Secretary

Directors-at-large: 9

Provincial Directors: 19

Election process:

Directors are elected by the membership. The positions of the Executive Committee are Directors and as such are elected.

While not an international organization, Canada is a very large country, with a single province often occupying the area of several countries in most parts of the world. Sources of revenue are primarily individual donations, government and corporate, so CWF experiences many of the same interests as IUCN for travel from Directors, as well as the needs for prudence in the use of supporters' funds.

Annual budget of organisation: CAD 20m

b) Travel arrangements

Expenses are paid only for out-of-pocket costs for pre-approved travel.

Approval for travel is decided by the CEO, based upon a request from the individual. The

CEO consults with the President on these issues on an as-needed basis.

Approval for travel is subject to the following criteria:

- To represent Canadian Wildlife Federation at an event that the President, a Vice-President or the CEO would normally attend but which they are unable to attend.
- To substitute for the President, a Vice-President or CEO when it is less expensive to pay costs of a regionally based Director.
- To represent Canadian Wildlife Federation at a provincial Annual General Meeting.
- To conduct business on behalf of the CWF (for example, travel costs are covered for a board members with a personal relationship with a politician or a corporate C-suite level person when the Board member is lobbying for a change in policy or funding important to Canadian Wildlife Federation) that is directly related to CWF mission and strategic plan. Directors provide a brief report on the results of their meetings along with their expense claims or at an appropriate future meeting.
- Approval for travel is not provided in situations where the person is doing general liaison with constituents or to attend an event CWF senior representatives would not normally attend. The principle purpose of this exclusion is to separate their political activities with their constituents from their work that contributes directly to CWF's mission and strategic plan.
- There is no specific line item in the budget for Directors to travel. Because their travel is always to represent the President, senior staff or to work on a specific CWF program, the costs are taken from those accounts.

According to the CEO, when applied with appropriate balance of flexibility and focus on results important to CWF, this approach has worked well.

3. EEB, European Environmental Bureau

a) Structure:

- Board
- President
- Vice-Presidents (min 2)
- Treasurer
- Other Board members

President and Vice-Presidents make up the Executive Committee
Total Board is approx. 40 people

Election process

The members of the Board, President, Vice Presidents and Treasurer are elected by the General Assembly of the membership.

Total annual budget of organisation: EUR 3m.

b) Travel arrangements

President has small representation budget (circa EUR 10,000 p.a.). Used for representation and in agreement with the Secretariat (joint planning).

Vice presidents may also represent the organisation but would draw on the same budget.

Other Board members may be asked to represent the Secretariat on the request of the Secretary General for specific events. In such cases Secretariat reimburses allowable expenses.

EEB travel rules apply for all travel.

Board members, including President, often contribute to their own travel costs.

4. WWF International

a) Board structure:

- President
- 3 institutional seats: Chairs or presidents of largest WWF National Organisations (NO) - USA, NL and UK
- 4 internal from other NOs – nominations to WWF Council (Chairs of NO of which 33)
- 4-5 externals
- VP – appointed by President from one of the above
- Treasurer - appointed by President from one of the above

Election process:

Apart from institutional seats all Board members go through a nominations process and are elected by the WWF Council.

b) Travel arrangements

1. Board meetings (2 physical meetings a year; 2 virtual)
 - WWFI pays costs of President and externals but not those from a WWF NO (NO pays)
2. Representation
 - WWFI manages a budget for the President. Attendance at events is agreed with the DG.
 - Board members are rarely asked to represent WWFI at events as expertise exists within the WWF network and the most appropriate person would attend and be financed by the NO or relevant programme.
 - Board members may attend events in their individual capacity – WWFI would not pay.

5. Summary of benchmarking

A basic principle that emerges is that travel of Board members, outside the attendance of normal Board meetings, is agreed with the Director General and/or the Secretariat of the organization or is on the request of the Secretariat. This also applies to travel for the positions of president and vice-president. In general, the purpose of travel is to further specific business related events, while general liaison or constituent services are not covered.

For all 4 organisations the president has a travel/representation budget. With the exception of IFRC no travel budget is made available to other Board members. For IFRC a budget is made available to the 4 vice-presidents to support a clearly defined statutory role.

For all organisations there are examples where a Board member may be asked by the Secretariat to represent the organisation for a specific event because they have specific expertise or have a clearly defined role in the event, in which case the Secretariat pays.

C. Review of statutory texts

If a budget were to be provided for Councillors' travel it should be linked to their role and function and hence be guided by the IUCN Statutes and other formal procedures.

1. IUCN Statutes

See Annex A, section 1 for relevant extracts

The Statutes do not give the Secretariat an obligation to provide funding to Council members for travel nor do they forbid such a budget for Councillor's travel.

Article 63 provides that "Expenses incurred in the discharge of their duties may be reimbursed." This means that it is necessary to define a) which duties a Council member has to "discharge" and b) which "expenses" are necessary to discharge such duties.

The Statutes and regulations do not foresee any formal representative role for Councillors towards third parties nor an obligation or a right to attend specific events in their capacity as IUCN's Council members except the obligation to attend Council meetings and the right to be invited at National and Regional committee meetings of their country/region as per Regulation 72:

"Regional Councillors and other members of the Council resident in a State or Region where such Committees and Regional Fora have been established, shall be invited to participate in the meetings and activities of the corresponding National and Regional Committees and Regional Fora. Members of the Commissions resident in such State or Region, may be invited to participate in meetings and activities of the National and Regional Committees and Regional Fora."

The formal external representative role to issue statements in the name of IUCN and represent IUCN at meetings is given to the Director General (Article 79 e). Council, as a body, may adopt and issue statements on important issues concerning the objectives of IUCN (Article 46 b), but not individual Council Members.

The President does not have a formal representative role expressly prescribed in the Statutes but it is accepted that he may be called upon to open doors at high level or participate at global conferences etc. This is more of an honorary or public relations role (see § 44 of the Council Handbook 2017). The President can also issue statements.

2. IUCN Regulations

See Annex A, section 2 for relevant extracts

The IUCN regulations do not provide Council members with any role or duty that would require a travel/representation budget.

Regulation 48bis requires that

“In order to ensure the best possible performance of Council collectively and of members of Council individually, Council shall adopt the Council Handbook and Performance Tools (the “Handbook”),....”

3. Council Handbook 2017

See Annex A, section 3 for relevant extracts

Article 25 of the Handbook requires that:

§25 Council members should inform and obtain input and feedback from IUCN Members, National and Regional Committees, and Regional Fora on the provisional agendas for upcoming Council meetings and on their reporting the results of Council meetings to IUCN Members. The Councillors’ role is to provide explanations on the agenda, encouraging Members to provide input to global decision making and to promote Council decisions, through submission of comments to the Director General prior to meetings of Council.

There is nothing to indicate that this responsibility to communicate with Members before and after Council would require Councillors to physically meet with Members (but also nothing to say they cannot).

4. Code of Conduct for Councillors

See Annex A, section 4 for relevant extracts

The Code of Conduct repeats the role of Councillors to obtain input from Members to the agenda of Council meetings and to feedback to Members on the outcomes of Council.

“Part IV j

....

8. inform and obtain input and feedback from IUCN Members, National and Regional Committees, and Regional Fora on the provisional agendas for upcoming Council meetings and in reporting the results of Council meetings to IUCN Members. The Councillors’ role is to provide explanations on the agenda, encouraging Members to provide input to global decision making and to promote Council decisions, through submission of comments to the Director General prior to meetings of Council.”

5. Terms of Reference for Regional Councillors

See Annex A, section 5 for relevant extracts

The Terms of Reference for Regional Councillors include various requirements for Regional Councillors to interact with the membership. However, this could be done through a variety of means and would not require travel per se. The terms of reference do, however, require Councillors to participate in meetings of National and Regional Committees (Functions of Regional Councillors (v)). To the extent that these are physical meetings and not virtual meetings, Councillors would be required to travel to these meetings.

D. Current arrangements in place to fund Councillors' travel

The Secretariat undertook a survey of its regional offices to determine current practices for funding Councillors' travel. Results of the survey are included in Appendix 2. A summary is presented below. A variety of arrangements exist:

Attendance at National Committee meetings

Councillors are invited to National Committee meetings in their home countries in accordance with the IUCN Statutes. Normally, attendance is at the Councillor's own expense or that of the institution for which he/she works. The organisation hosting the meeting may also provide funding, either directly from its own funds or through fundraising. Occasionally, the Secretariat provides funding for the entire meeting (including the Councillors), in tandem with project events.

Attendance at Regional Committee meetings

For Regional Committee meetings a variety of mechanisms exist. Councillors may fund their own participation or the organisation hosting the meeting may fund participation through use of their own funds or by actively fundraising for the meeting.

Regional Committee meetings are sometimes held virtually at no cost apart from the cost of connecting to the meeting which is normally borne by each participant.

Where Regional Committee meetings are held at IUCN offices, IUCN may participate in the costs.

Participation in programme meetings

The Secretariat often invites Councillors to participate in Programme meetings or workshops. This is normally for a pre-defined purpose where the Councillor is given a specific role or where the councillor has relevant expertise. The Councillor may also be invited if high level officials will be present and there are opportunities for policy influencing or for networking. In all cases, participation is based on the principal that there is an added value.

A Councillor may also be involved in the conceptual phase of a project, particularly where they can "open doors" or help build relationships, e.g. with government partners.

Participation is normally funded by the project in question, but may also be funded by the Councillor or his/her institution, particularly if the meeting is taking place in his/her home country and the costs of participation are low.

Representational meetings

A regional office may request a Councillor to participate in or facilitate the arrangement of meetings with government officials. This may be for the purpose of building relationships with Members or for programmatic purposes. The funding for such participation may be from the regional offices core funds or from programmatic funding, or the Councillor may fund his/her own costs.

E. Possible options for IUCN

Whatever option is chosen it should be driven by the following key principles:

- The role and function of Councillors

- Added value
- Affordability

1. Status quo

The status quo could be maintained. Councillors' travel is currently funded through a variety of different mechanisms, namely:

- a. Participation in National and Regional Committee meetings – by the host of the meeting through fundraising or by use of their own funds
- b. Programmatic meetings – by project restricted funds
- c. Representational meetings – by project restricted funds and exceptionally through the use of core funds

The Councillor may also use his/her own funds or be sponsored by his/her institution.

Advantages

- Results in a creative approach to fund funding
- Minimum drawdown on core funds

Disadvantages

- Non-attendance at key meetings due to inability to identify funding
- Not a systematic approach
- No clear oversight process

2. Regionally managed budget for Council travel

A small travel budget could be made available to be managed by Regional Directors to cover the cost of Councillors' participation in certain events or meetings where there is a clearly defined need and role for the Councillor to play and where other funding possibilities have been exhausted. This fund would be a fund of last resort.

Mechanism

The process would mirror that in place for the funding of Secretariat staff travel. It would be agreed in advance between the Secretariat and Councillor, and a short mission report would be prepared by the Councillor on completion of the trip. This would ensure accountability and demonstrate good fiduciary management of IUCN funds.

Process

- Councillor or IUCN Secretariat identify strategic event where participation of Councillor would have significant added value.
- Attendance at event agreed in principle by IUCN Regional Director or Global Director or Director General.
- IUCN Secretariat identifies most suitable funding source.
- IUCN Regional Director or Global Director or Director General confirms participation of Councillor in event and agreement to fund travel costs.
- IUCN Secretariat organises travel logistics and pays costs. (Or, if more expedient, approves costs to be paid in the first instance by the Councillor and then reimbursed by IUCN. In such cases the agreement would be based on an estimate to be provided by the Councillor prior to making any commitment.)
- Councillor completes mission report summarising purpose and achievements.

Budget

A budget would be provided to each IUCN regional office that would take into consideration:

- Number of Councillors in the region
- Travel costs in the region
- Alternative funding sources available, e.g. regions with large programmes will have the ability to fund Councillors' travel with programmatic funding, whereas regions that are more representational in nature (Washington, Brussels) will not have recourse to programme funding
- Alternative funding sources available to the Councillor, e.g. own institution

Advantages

- Allows the Councillor and Secretariat to agree on priorities and maximise the value of trips by Councillor
- Ensures complementarity between trips of the Councillor and regional Secretariat staff
- Maximises the use of alternative funding sources, creates additionality
- Accountability built into process

Disadvantages

- Lack of flexibility – multiple regional budgets as opposed to a single central budget
- Could still result in uneven access to funds
- No central oversight

3. Budget managed by the Governance Unit

A small budget could be managed by the Governance Unit. Councillors would propose events that they wish to attend or the Secretariat would propose events. The trips would be agreed by the Secretary to Council in consultation with the Director General or/and relevant Regional Director. A similar process to the regional approach would be adopted in terms of travel approval and trip report.

Advantages

- Allows the Councillor and Secretariat to agree on priorities
- Flexible – allocations driven by need rather than geography
- Accountability built into process
- Good level of control and oversight

Disadvantages

- Governance Unit may not have sufficient knowledge of regional context in order to agree on travel priorities
- Complementarity between trips of the Councillor and regional Secretariat staff unlikely to be achieved. Risk of lack of coordination and trips being counter-productive
- Likely to be administratively heavy with Governance Unit being “caught in the middle”
- Alternative funding sources unlikely to be considered
- Less recourse to identification of project resourcing

4. Increase in President's travel budget and expansion of its use

The President is currently allocated an annual travel budget of circa CHF 30,000 for the purpose of representing IUCN. This budget could be increased and its use expanded to cover:

- a) The travel cost of Councillors when the President requests that another Councillor represents IUCN in his place.
- b) The travel costs of Councillors for their attendance at Regional Committee meetings when no alternative funding sources are available.
- c) Other (to be determined)

Process

- Request from Councillor submitted to the President
- President assesses the request against agreed criteria with the support of the Governance Unit, including assessing if alternative funding sources are available.
- If the request meets the criteria and no alternative funding is possible the President approves the request
- IUCN Secretariat organises travel logistics and pays costs.
- Councillor completes mission report summarising purpose and achievements and submits this to the President

Advantages

- Clear line of accountability – single budget managed by the President
- Central budget provides a basis for equal treatment of all requests
- Allocations driven by need rather than geography
- Accountability built into process

Disadvantages

- Significant Governance Unit role requiring coordination with President, Councillors and regions to validate requirement and assess alternative funding sources.
- Less recourse to identification of project resourcing
- Expansion of use of President's travel budget beyond the President's representation role would be a significant change in purpose

5. Centrally maintained travel budget with notional budgets managed by the regions

This is effectively a mix of options 2 and 3. Two components are envisaged:

1. President's travel budget
2. Budget for regional councillors for specific agreed deliverables

President's travel budget

This would remain unchanged. The statutes and regulations do not foresee any formal representative role for councillors. The statutes assign the representational function to the DG who shares it with the President by agreement. The President already has the option of asking a Vice-President or councillor to represent IUCN on his behalf if he is unable to attend a specific meeting or if it would be more expeditious for a councillor to attend in his place.

Councillors' travel budget

This budget would be for specific agreed deliverables. Decisions on actual trips would be taken by the regions, with central budget oversight by the Governance unit.

Process:

- A central budget is created and the funds are held centrally
- The budget manager would be the Governance Manager (this position is also the budget manager for the President's travel budget)
- A notional allocation would be given to each region, based on the number of Councillors. This could be based on, for example, one trip per Councillor per year. Then, if budget of CHF xk per Councillor and region has 5 Councillors then notional allocation would be CHF 5xk.
- Trips are agreed with input from Councillors, and decided by the Regional Director (RD). Ideally, decisions are made on the basis of a plan established at the beginning of the year between the Councillors and RD that is based upon delivering specific priorities of the annual workplan.
- The RD looks for alternative funding wherever possible
- Where no alternative funding is identified, the RD may agree to fund the trip from the notional budget allocation
- RD undertakes all administration, pays travel costs and recharges cost against most appropriate budget line, including using the notional allocation where no other funding source has been identified
- Governance Manager ensure rules have been applied and costs are correctly justified and accepts cost against the central budget
- Councillor completes mission/activity report on return (failure to do so makes the Councillor ineligible for further funding)
- The allocation does not need to be spread evenly across Councillors – for one Councillor alternative funding may be identified, for another recourse to the central pot may be necessary
- Additional trips would be possible to the extent that a region can identify alternative funding or to the extent that the notional allocation has not been utilised
- Central budget oversight would be limited to processing payments incurred by the regions, checking rules are followed and justifications are submitted so that the budget can be audited and reported on without risk.
- IUCN travel policy and standard procedures would apply

Eligible trips:

- Attendance at national and regional committee meetings
- Trips to deliver specific mutually agreed targets (e.g. membership of new states, state agencies or other revenue generation) for that Councillor

Advantages

- Allows the Councillor and regional Secretariat to agree on priorities and maximise the value of trips by Councillor
- Ensures complementarity between trips of the Councillor and regional Secretariat staff
- Maximises the use of alternative funding sources
- Oversight provided by the Governance unit
- Accountability built into process

Appendix 1: Extracts from IUCN statutory texts

1. IUCN Statutes

PART VI – The Council

Functions

46. The functions of the Council shall be *inter alia*:
- (b) to adopt and publicise statements on important issues concerning the objectives of IUCN;

Duties of Members of the Council

59. The members of the Council shall have a fundamental obligation to serve IUCN with diligence and integrity.
60. The members of the Council shall disclose to the Council any potential conflict of interest on matters under consideration by the Council and refrain from participating in the discussion and voting on these matters.
61. No member of the Council may vote on any matter in which that member or a close relative has any legal or financial interest.
62. Members of the Council shall serve IUCN in their personal capacities and not as representatives of their respective States or organisations.
63. No member of the Council shall receive any remuneration from IUCN. Expenses incurred in the discharge of their duties may be reimbursed.

PART VII - The National and Regional Committees and Regional Fora

73. Regional Councillors and other members of the Council resident in a State or Region where such Committees and Regional Fora have been established, shall be invited to participate in the meetings and activities of the corresponding National and Regional Committees and Regional Fora. Members of the Commissions resident in such State or Region, may be invited to participate in meetings and activities of the National and Regional Committees and Regional Fora.

Part IX - The Secretariat

79. The Director General shall be:
- (a) appointed by the Council according to the highest standard of merit for such period and under such terms and conditions as the Council may determine;
 - (b) responsible for the implementation of the policy and the programme of IUCN as established by the World Congress and the Council;
 - (c) responsible for the finances and accounting of IUCN;
 - (d) responsible for coordinating the work of the Secretariat with all other components of IUCN;
 - (e) authorized to issue statements in the name of IUCN;
 - (f) authorized to sign all obligations on behalf of IUCN and to delegate such authority; and
 - (g) the head of the secretariat for the World Congress.

2. IUCN Regulations:

PART V – The Council

Duties of Council Members

Article 48

- (a) No member of Council shall serve as a consultant to IUCN, nor receive remuneration from any component of IUCN, during their service as a member of Council.
- (b) Council members shall maintain an effective relationship with the Director General and, through him/her, the Secretariat staff in view of enabling them to work to the same purpose through clarity of and respect for the authority and responsibilities of Council and the Director General, respectively, and with the highest professional and ethical standards.
- (c) Consistent with all the duties assigned to them under the Statutes, Rules of Procedure and Regulations of IUCN, the Vice-Presidents shall:
 - (i) assist the President in improving the transparency and accountability of Council;
 - (ii) constitute the Nominating Committee for the election of members of the Bureau and of Council Committees and for the

appointment of the additional Councillor pursuant to Article 38(f) of the Statutes;

- (iii) prepare and submit to Council a written synthesis of Councillors' self-assessments;
- (iv) assist the President, on request, in the management of Council, including the facilitation of resolution of conflicts between Councillors and of questions of ethics, should they arise, and accept any other duties as may be assigned to them from time to time; and
- (v) together with the President, constitute the evaluation committee of the Director General.

48*bis*. In order to ensure the best possible performance of Council collectively and of members of Council individually, Council shall adopt the *Council Handbook and Performance Tools (the "Handbook")*, which shall provide Council members with guidance to the effective interpretation and application of the Statutes, Rules of Procedure and Regulations of IUCN, as these apply to the performance of Council members. Candidates for Council shall receive the *Handbook* at the time of acceptance of their nomination. The *Handbook* and its annex(es) may be amended by Council from time to time, at its discretion and in accordance with its rules of procedure, and shall always be and remain subject to the provisions of the Statutes, Rules of Procedure and Regulations of IUCN.

Meetings of the Council

- 48. Notice of ordinary meetings of the Council, with draft agenda, shall be circulated to those entitled to be present at least six weeks in advance of the meeting. A special meeting of the Council may be convened at any time during sessions of the World Congress by the President or, in the absence of the President, a Vice-President.
- 49. The Chair of each meeting of the Council shall declare the opening and closing of the meeting. The Chair shall preside over the discussions, ensure the observance of the provisions of the Statutes and Regulations, accord the right to speak, put questions to the vote and announce decisions. Any member of Council may request that a question be submitted in writing before a decision is taken. The Chair shall rule on points of order and shall control the conduct of the

meeting, subject to the right of any member of the Council to challenge a ruling of the Chair. This challenge shall require a two-thirds majority of the votes cast to prevail.

3. IUCN Council Handbook

Section 3: Individual responsibilities of Council members

Statutory Responsibilities, Liability and Accountability

§23 Councillors have a “fundamental obligation to serve IUCN with diligence and integrity” (Article 59 of the Statutes). They must disclose any potential conflict of interest on matters under consideration by the Council and refrain from participating in the discussion and voting on these matters (Article 60 of the Statutes), and cannot vote on matters where they or their close relatives have any legal or financial interest (Article 61 of the Statutes). In addition, they cannot receive any remuneration from IUCN or any component of IUCN other than reimbursement for expenses incurred in the discharge of their duties [Article 63 of the Statutes and Regulation 48 (a)]. This is further elaborated in the Code of Conduct; see also hereafter §34.

§24 Members of Council serve in a personal capacity, not as representatives of their respective States or organizations (Article 62 of the Statutes). Council members may contribute a regional perspective but are expected to give precedence to the best interests of IUCN. Council has put its faith in the individual Council member’s capacity to serve well as a Council member, not as a representative acting under instruction. Without this distinction, the autonomy of Council would be lost and artificial divisions would arise.

§25 Council members should inform and obtain input and feedback from IUCN Members, National and Regional Committees, and Regional Fora on the provisional agendas for upcoming Council meetings and on their reporting the results of Council meetings to IUCN Members. The Councillors’ role is to provide explanations on the agenda, encouraging Members to provide input to global decision making and to promote Council decisions, through submission of comments to the Director General prior to meetings of Council.

§26 Council members shall maintain an **effective relationship with the Director General** and, through him/her, the Secretariat staff in view of enabling them to work to the same purpose through clarity of and respect for

the authority and responsibilities of Council and the Director General, respectively, and with the highest professional and ethical standards.

§27 Article 65 of the Statutes provides for the **suspension and expulsion of a Council member** if s/he “acts in a manner seriously inconsistent with that Council member’s duties”. Such action has to be taken by the Council by a two-thirds majority of the votes cast. If warranted, Council can also authorize legal action against an expelled Council member to recover any IUCN assets taken or damaged by that individual.

§28 A Council member’s position on Council may be declared vacant if that person is **absent from three consecutive meetings of Council** without having been given leave of absence, i.e. provided good justification approved by Council (Article 64 of the Statutes). Since Council’s approval of “Enhanced practices and reforms of IUCN’s governance” (April 2016), this authority has been “delegated” to the Bureau. Note in this regard the longstanding practice, originating in a decision of the Council, to indicate in brackets in the Call for nominations the number of Council meetings which each Regional Councillor attended since the last session of the World Conservation Congress.

§29 Councillors are protected against the **risk of legal liability** by the Statutes, which specify that “IUCN shall indemnify members of Council, to the extent permitted by law, against claims arising from the normal exercise of their functions” (Article 93 of the Statutes). A copy of the insurance policy is available upon request from the Secretary to Council.

4. Code of conduct for IUCN Councillors

Part IV j

8. inform and obtain input and feedback from IUCN Members, National and Regional Committees, and Regional Fora on the provisional agendas for upcoming Council meetings and in reporting the results of Council meetings to IUCN Members. The Councillors’ role is to provide explanations on the agenda, encouraging Members to provide input to global decision making and to promote Council decisions, through submission of comments to the Director General prior to meetings of Council.

5. Terms of Reference for Regional Councillors

THE REGIONAL COUNCILLORS OF IUCN

ELECTION, ROLE, FUNCTION AND QUALIFICATIONS REQUIRED

(Approved by the IUCN Council at its 85th Meeting, May 2015, decision C/85/8)

1. Election

The IUCN Regional Councillors are elected by the World Conservation Congress following the provisions of the IUCN Statutes, Article 39 and the IUCN Regulations 36 to 40. There shall be twenty-eight Regional Councillors. The number of elected Councillors for each Region shall be as follows: four (4) for Africa; four (4) for Meso and South America; three (3) for North America and the Caribbean; five (5) for South and East Asia; three (3) for West Asia; three (3) for Oceania; three (3) from West Europe, and three (3) from East Europe, North and Central Asia.

2. Terms of Office

The terms of office of the Regional Councillors shall extend from the close of the ordinary session of the World Conservation Congress at which they are elected, until the close of the next ordinary session of the World Conservation Congress.¹ (Statutes, Article 41)

The Regional Councillors, as well as any other member of the Council, shall not hold the same office consecutively for more than two full terms. (Statutes, Article 42)

3. Role of Regional Councillors

- (i) As members of Council, Regional Councillors serve first and foremost the global interests and well-being of IUCN, fulfilling the functions of the IUCN Council as outlined in the IUCN Statutes, Articles 37 and 46 and providing guidance on the overall development and implementation of the Union's world-wide policies and programmes in the period between sessions of the World Conservation Congress;
- (ii) Within the above parameters, Regional Councillors provide input to the Council on the interests, priorities and needs of the IUCN Members in the Regions;
- (iii) Regional Councillors act as IUCN's ambassadors, working with the President and Director General to advance the interests and Mission of the Union and to promote its services within the Region;
- (iv) Regional Councillors serve as key contact points in the Region to facilitate the work of the Director General and Secretariat, members of Commissions and IUCN Members;
- (v) Working actively with IUCN Regional and National Committees, IUCN Regional Offices and Members, Regional Councillors assist in promoting the work of the Union.

4. Functions of Regional Councillors

- (i) Assisting the Director General and the Secretariat in evaluating advice from, and working with, the membership in the Region;
- (ii) Reporting to Members on Council deliberations;

- (iii) Consulting the membership on issues to be discussed in the Council and conveying their opinions to Council;
- (iv) Developing and maintaining regular contact with the IUCN Members in the Region, individually and through the Regional and National Committees, to keep them informed on the work of IUCN globally and in the Region;
- (v) Participating in meetings of IUCN National and/or Regional Committees, other regional fora and gatherings of Members from the Region;
- (vi) Promoting the Mission of the Union, fostering public awareness, and encouraging development of the membership in the Region;
- (vii) Facilitating communications between members of IUCN Commissions in the Region and IUCN Members and Offices;
- (viii) Maintaining regular contact with their IUCN Regional and Country Offices and their designated Secretariat Focal Point within the Region;
- (ix) Identifying persons and organizations within the Region who could contribute to the work of the Union;
- (x) Responding to correspondence and requests for advice from IUCN Members, regional Commission representatives and members of the IUCN Secretariat;
- (xi) Representing IUCN at national and international meetings;
- (xii) Assisting in fundraising for IUCN, both globally and within the region.

5. Qualifications and Requirements for the Post

The electoral process for Council should aim to attract the best, high calibre candidates available and to ensure that nominees know the nature of their commitment. It should also contribute to preserving roughly the balance on Council in respect of (i) governmental/non- governmental, (ii) developing country/developed country, (iii) gender and (iv) private sector representation.

Criteria

- (i) Outstanding, widely respected individuals;
- (ii) Experience working at international level;
- (iii) Capacity for guiding development of the Union's policies between sessions of the World Conservation Congress;
- (iv) Ability to contribute to the direction of IUCN and determination of its priorities;
- (v) Previous governance experience from large governmental or non governmental organizations;
- (vi) Commitment to conservation, equity and justice;
- (vii) Have a global view of the Union;
- (viii) Understanding of sustainable development;
- (ix) Capacity to work in English.

Requirements

- (i) Avoid conflict of interest situations;
- (ii) Serve in a personal capacity and not as a representative of member organization or interest groups;
- (iii) Commitment of time (1 to 2 Council meetings per year, preparation, participation in Committees and Task Forces, regional duties and communications with Members as detailed under Section 4 above – at least three weeks of work per year).

Desirable

- (i) Support at institutional/employment base
- (ii) Experience from international networking
- (iii) Capacity to work in one of IUCN's other official languages (French and Spanish)
- (iv) Prior IUCN involvement

6. Expenses

The position of Regional Councillor is a voluntary position. Regional Councillors may claim reimbursement of their travel expenses in accordance with the Council's Policy on the Reimbursement of Travel Expenses to IUCN Councillors (Annex III to Council Handbook).

7. Additional Reference Material

The IUCN Council Handbook and Performance Tools prepared and approved by Council, provide guidance on the role and responsibilities of Council, the composition and structure of Council and the role of the President, Vice Presidents and the Director General. Prospective candidates are invited to consult the [IUCN Council Handbook](#) as well as the [IUCN Statutes and Regulations](#).

Appendix 2: Current funding of Councillors' travel

Region	Event	Funding source
West & Central Africa	Participation in annual planning and coordination meeting, including discussions on membership issues	Core funds
	Participation in programme meetings, particularly those that involve policy influencing, mobilizing Members and involvement of strategic partners, e.g. governments and parliamentarians.	Programme funds
East and Southern Africa	National Committee meetings (in home country of Councillor)	Councillors own funds
	Regional Committee meetings (usually held remotely)	No funding requirement
	Programme meetings, e.g. FLR meeting held in Kigali	Programme funds
Mediterranean office	Programme meetings (specifically North Africa and where there is an added value)	Programme funds
Asia	National Committee meetings	A variety of arrangements exist: Member institution hosting the meeting. IUCN country office may participate in the costs. Project funds may be used to support a NC meeting where there is relevance. Sponsoring organisation may fund a meeting, e.g. Japan, China, South Korea
	Regional Committee meetings	A combination of projects (e.g. if a project meeting is tagged on to RC meeting) and (primarily) the host of the meeting.
	Programmatic meetings, particularly where it helps establish a programme or mechanism, or to give it visibility, e.g. Asia Protected Areas Partnership (APAP), or where attendance by a Councillor allows IUCN to influence a government ministry.	Programme funds
Oceania office	No examples provided	
West Asia	Councillors attend the National Committee meetings in their home country	Councillors own funds
	Participation in programme meetings	Programme funds or a sponsoring organisation
	Representation of IUCN to governments (rare)	Programme funds, core funds
ORMACC	National Committee meetings	Councillors own funds/or that of

		their institution, The Committee or host may fundraise to cover the cost of the meeting.
	Regional Committee meetings (sometime held remotely)	A variety of mechanisms, e.g. Councillors own funds/or that of their institution, the National or Regional Committee itself, or whoever is hosting the meeting. The Committee or host may fundraise to cover the cost of the meeting. When held at IUCN, IUCN may participate in the costs.
	Participation in programme meetings (where Councillors have relevant expertise and where they help build links/open doors with programme partners)	Programme funds
	Meetings with State and Agency members (normally in Councillor's home country)	Own funds or sponsoring organisation
European Regional office	Councillors are invited to attend Regional and National Committee meetings and associated working group and EUP Advisory Group	Own funds or sponsoring organisation
	Meetings with the European Commission or Belgium Government	Own funds or sponsoring organisation
East and Central Asia	Meetings with government officials / national authorities	Own funds or sponsoring organisation
Global programmes	Participation in specific events or assistance with fundraising, e.g. a Councillor provided assistance with raising funds for the Red List and ecosystems based DRR. Participation is normally when the event is taking place in the Councillors home country.	Own funds or sponsoring organisation

IUCN, INTERNATIONAL UNION FOR CONSERVATION OF NATURE
64th Meeting of the Finance and Audit Committee
29-30 April 2018

Approval of the 2017 financial statements

Origin: Chief Financial Officer

Action requested:

The Finance and Audit Committee is asked to review the 2017 audited financial statements and make a recommendation to Bureau on their approval.

Draft Council decision:

Council, on the proposal of the Director General and the recommendation of the Finance and Audit Committee, approves the Audited Financial Statements for 2017, noting that final approval rests with the 2020 World Conservation Congress as provided under Article 20 (d) of the Statutes.

Background

1. In accordance with the statutes (46.g), Council (or Bureau acting on behalf of Council) is required to approve the audited financial statements, though final approval rests with Congress (20.d)
2. The external audit covers the consolidated accounts of the IUCN Secretariat. This includes Headquarters and all regional and country offices.
3. This items includes the following documents:
 - This overview
 - Review of the Consolidated Financial Statements for the year ended 31 December 2017
 - Consolidated Financial Statements for the year ended 31 December 2017
 - PwC report: IUCN Detailed report to the Council and Finance and Audit Committee for the year ended 31 December 2017

Issues and Considerations

4. The audit is not yet complete (as at 13 April 2018); however, no significant issues have been raised to date and adjustments to the financial statements are not expected. Assuming satisfactory completion of the audit the auditors will issue an unqualified audit report, which would mean that the financial statements contain no material misstatements and that they are in compliance with Swiss law and IUCN's accounting policies.
5. The overall result for the year is a surplus of CHF 1.1m before transfers to designated reserves.
6. The following transfers to designated reserves have been reflected in the financial statements:

	CHF
Reserve for statutory meetings:	
Congress 2020	239k
Regional Conservations Fora	250k
Total	489k
Other designated reserves:	
External Review	75k
Balances on Commission Operating Funds:	
WCEL	89k
SSC	(12k)
WCPA	29k
CEM	3k
CEESP	19k
CEC	<u>86k</u>
Systems development	214k
	382k
Total	671k
Renovation fund	16k
Total	1,176k

These balances represent budgetary allocations made in 2017 as part of the 2017 approved budget but which were not spent in 2017. It is proposed to carry them forward to 2018 and future years in accordance with the reserves policy.

As part of the approval process of the financial statements, the FAC and Council are requested to approve the allocations to designated reserves.

7. A full analysis of the result is included in the following paper: *Review of the Consolidated Financial Statements for the year ended 31 December 2017*.

Review of the Consolidated Financial Statements for the year ended 31 December 2017

1) Unrestricted (Core) income and expenditure

The below table summarises IUCN core income and expenditure for 2017 compared to the 2017 Council approved budget and actual results for 2016.

CHF m	Core Income & Expenditure			
	2017 Actual	2017 Budget	2017 Variance	2016 Actual
Membership dues	11.7	12.0	(0.3)	12.9
Framework income	12.5	11.9	0.6	13.9
Other income	5.7	4.9	0.8	4.9
Total income	30.0	28.8	1.2	31.7
Cost recovery from projects	37.4	40.3	(2.9)	37.0
Operating expenditure	(65.0)	(67.9)	2.9	(68.0)
Exceptional costs	(0.5)	(1.6)	1.1	
Operating surplus	1.9	(0.4)	2.3	0.7
Other income and expenditure	(0.8)	(1.1)	0.3	(0.9)
Net surplus / (deficit)	1.1	(1.5)	2.5	(0.2)
Transfer to designated reserves	(1.2)	(0.5)	(0.7)	0.0
Result after reserve adjustments	(0.1)	(2.0)	1.9	(0.2)

a) Overall result

A net surplus of CHF 1.1m was realised. This compares to a deficit budget of CHF 1.5m.

After taking into account transfers to designated reserves (see below for details) the year-end result is a deficit of CHF 0.1m vs. an approved budget deficit of CHF 2.0m.

Major variances:

Framework income above budget:	CHF 0.6m.
Other income above budget	CHF 0.8m
Exceptional costs below budget	CHF 1.1m

The following transfers to designated reserves are proposed:

Congress 2020, Regional Conservations Fora, External Review:	CHF 0.6m
Balances on Commission Operating Funds:	CHF 0.2m
Systems development	CHF 0.4m

Total CHF 1.2m

These amounts represent allocations included in the 2017 approved budget but not spent in 2017.

b) Income

Total core income was CHF 30.0m vs. a budget of CHF 28.8m.

Membership dues

CHF m	2017 Actual	2017 Budget	2017 Variance	2016 Actual
Membership dues invoiced	11.7	12.0	(0.3)	12.9
Provision / write offs	(0.3)	(0.6)	0.3	(1.6)
Net membership dues	11.4	11.4	0.0	11.3

Invoiced Membership dues were CHF 11.7m vs. a budget of CHF 12.0m. There was a significant decline compared to 2016 as a result of the rescission of Members at the 2017 Congress. Rescinded Members were not invoiced except those which paid their arrears and consequently dropped off the rescission list. Provisions and write offs were low in 2017 at CHF 0.3m compared to a budget of CHF 0.6m. Provisions were high in 2016 as it is IUCN policy to make full provision for all Members in rescission. Part of this provision was released in 2017 as a result of some rescinded Members paying their dues and maintaining their membership.

79 new Members joined in 2017, adding CHF 71k in membership income in 2017. This will increase to CHF 187k in 2018.

Framework income

Framework partner	2017 Actual	2017 Budget	2017 Variance	2016 Actual
	CHF m	CHF m	CHF m	CHF m
Denmark	-	-	-	3.5
Norway	2.5	2.5	(0.0)	2.5
Sweden	4.6	3.3	1.3	2.9
Switzerland	2.2	1.9	0.3	2.1
France	0.5	1.1	(0.6)	0.9
Republic of Korea	0.5	0.6	(0.1)	0.6
MAVA Foundation	1.0	1.0	-	1.0
Finland	0.4	0.7	(0.3)	0.4
USA	0.8	0.8	0.0	-
Total	12.5	11.9	0.6	13.9

Total framework income received was CHF 12.5m vs. a budget of 11.9m.

Sweden signed an agreement significantly higher than budget. In addition, a final instalment of CHF 0.3m was received from Switzerland in relation to their 2013-16 agreement. Other framework partners committed amounts lower than budget.

Although an umbrella framework agreement was signed with France during 2017, the agreement with AFD which provides unrestricted income had not been signed by the year end. The income will be recognised in 2018. Only income in respect of in-kind staff provided by the French Government has been recognised in 2017.

Cost recovery

Cost recovery from projects was CHF 37.4m vs. a budget of CHF 40.3m (see section 2. for further analysis).

c) Expenditure

Operating expenditure was CHF 65.0m vs a budget of CHF 67.9m, and is broken down as follows:

	2017 Actual		2016 Actual	
	CHF m	%	CHF m	%
Staff costs	51.5	79%	53.0	78%
Consultants	1.6	2%	1.8	3%
Grants to partners	0.5	1%	0.6	1%
Travel	2.4	4%	3.0	4%
Workshops and conferences	0.3	0%	0.5	1%
Publications and printing costs	0.3	0%	0.3	0%
Office and general administrative costs	3.9	6%	4.0	6%
Vehicles & equipment - costs & maintenance	1.0	1%	0.9	1%
Professional fees or costs	0.6	1%	0.7	1%
Depreciation and amortisation	3.0	5%	3.2	5%
Total operating expenditure	65.0	100%	68.0	100%

Extract from Income and Expenditure Statement, page 3 of the Audited Financial Statements

The distribution of expenses is similar to that of 2016. Both travel and workshop and conference costs were higher in 2016 as it was a Congress year.

Staff costs represented 79% of operating costs.

d) Other income and expenditure

CHFm	2017 Actual	2017 Budget	2017 Variance	2016 Actual
Interest income	0.5	0.5	0.0	0.6
Financial charges	(0.5)	(0.5)	(0.0)	(0.6)
Capital gains/(losses)	0.3	-	0.3	0.1
Net gains/(losses) on foreign exchange	0.3	(0.3)	0.6	(0.4)
Net movements in provisions and write-offs	(1.3)	(0.8)	(0.5)	(2.2)
2016 Congress surplus	-	-	-	1.6
Total other income and expenditure	(0.8)	(1.1)	0.3	(0.9)

Extract from Income and Expenditure Statement, page 3 of the Audited Financial Statements

i. Interest income

Interest income represents the in-kind benefit of the interest-free loan from the Swiss government for the Headquarters extension (CHF 0.3m) and interest received on bank and investment accounts (CHF 0.2m).

ii. Financial charges

Financial charges include bank charges and interest paid, and the value of interest that would have been paid on the headquarters building loan if it had been obtained on a commercial basis (CHF 0.3m).

iii. Capital gains/(losses)

The capital gain of CHF 0.3m represents gains on IUCN's investment portfolio.

iv. Net gains/(losses) on foreign exchange

Gains on foreign exchange of CHF 0.3m were realised in 2017 as a result of the appreciation of the EUR against the CHF during the year.

v. Net movements in provision and write-offs

Net movements in provision and write-offs of CHF 1.3m comprises:

- Provision for Membership dues: CHF 0.3m
- Provision for projects in deficit and other losses: CHF 1.0m

2) Project income and expenditure

a) Overall result

The below table summarises IUCN restricted income and expenditure for 2016 compared to the Council approved budget.

CHF m	Project Income & Expenditure			
	2017 Actual	2017 Budget	2017 Variance	2016 Actual
Project income	95.1	119.5	(24.4)	94.4
Other income	0.3	0.0	0.3	3.7
Total income	95.4	119.5	(24.1)	98.1
Cost recovery from projects	(37.4)	(40.3)	2.9	(37.0)
Operating expenditure	(59.2)	(79.2)	20.0	(59.7)
Operating surplus	(1.1)	0.0	(1.1)	1.4
Other income and expenditure	1.1	0.0	1.1	(1.4)
Net surplus / (deficit)	(0.0)	0.0	(0.0)	0.0

IUCN recognises income in line with actual expenditure in accordance with Swiss accounting law, hence the net result is zero. Income received in advance of the period in which it is spent is treated as deferred income and shown on the balance sheet as *Project agreement advances*.

b) Income and expenditure

Restricted income and expenditure totalled CHF 95.4m, significantly below budget of CHF 119.5m and also below that of 2016. The budget was overly optimistic. Although the project portfolio has grown, many new projects were signed later than foreseen, impacting expenditure levels. There was also an increase in on-granting which also adds delays.

The table below compares project income, cost recovery and expenditure for 2017 with 2016.

CHF m	2017 Actual	%	2016 Actual	%
Project income	95.4		98.1	
Cost recovery	(37.4)	39%	(37.0)	38%
Operating expenditure	(59.2)	62%	(59.7)	61%
Other income / (expenditure)	1.1	-1%	(1.4)	1%
Total project expenditure	(95.4)	100%	(98.1)	100%
Net (deficit) / surplus	(0.0)		0.0	

The costs recovery rate for 2017 (39%) was similar to that of 2016 (38%), but significantly higher than budget (34%). CHF 22m of expenditure was incurred through implementing partners and grantees.

3) BALANCE SHEET

a) Assets

	2017	2016
	CHFm	CHFm
Current assets		
Cash and short term bank deposits	48.9	37.8
Financial assets	16.5	14.0
Membership dues receivables	1.6	1.6
Staff receivables	0.5	0.6
Receivables from partner organisations	0.5	0.3
Advances to implementing partners	12.5	7.7
Prepayments	1.0	0.7
Donor funds receivable	3.3	2.8
Project agreement receivables	14.1	16.3
Framework agreements receivables	0.5	-
Other account receivables	1.2	1.0
Total current assets	100.6	82.8
Fixed assets (Net)	30.4	31.9
Intangible assets	0.4	1.0
Total non-current assets	30.7	32.9
TOTAL ASSETS	131.4	115.7

Extract from Consolidated Balance Sheet, page 2 of the Audited Financial Statements

Total assets show an increase of CHF 15.7m compared to 2016, primarily due to an increase in cash and short term bank deposits of CHF 11.1m which in turn reflects growth in the IUCN project portfolio but also delays in the implementation of some projects. Advances to implementing partners increased significantly by CHF 4.8m reflecting a growth in grant making projects. The framework agreement receivable in 2017 of CHF 0.5m represents money owing from Finland. This has since been received.

b) Liabilities

	2017	2016
	CHFm	CHFm
Liabilities		
Current liabilities		
Membership dues paid in advance	1.4	2.0
Accounts payable and accrued liabilities	13.9	7.6
Social charges payable	0.4	0.6
Project agreement advances	57.9	50.2
Deferred income	1.7	0.6
New building loan	0.2	0.2
Miscellaneous current liabilities	0.5	0.6
Advances from hosted organisations	0.6	0.2
Total current liabilities	76.5	62.0

Extract from Consolidated Balance Sheet, page 2 of the Audited Financial Statements

Current liabilities increased by CHF 14.5m compared to 2016. The main increases were in Project agreement advances (CHF 7.7m) and accounts payable and accrued liabilities (CHF 6.3m). The former relates to overall growth of the project portfolio and the latter to accrued expenses for implementing partners which in turn reflects the increase in the level of grant making projects. These two items together are driving the increase in cash and bank deposits.

c) Provisions and non-current liabilities

	2017	2016
	CHFm	CHFm
Provisions		
Projects in deficit	2.2	1.5
Staff leave and repatriation	2.1	2.0
Staff termination	1.6	1.5
Total provisions	5.9	5.0
Non-current liabilities		
Deferred income	16.4	17.1
Loan	11.1	11.3
Total non-current liabilities	27.5	28.4

Extract from Consolidated Balance Sheet, page 2 of the Audited Financial Statements

The overall level of provisions increased by CHF 0.9m compared to 2016, primarily as a result of an increase in the provision for projects in deficit of CHF 0.7m.

Long term deferred income represents the in-kind benefit of the loan received from the Swiss Government and donations for the construction of the headquarters building extension, plus the net-book-value of the original headquarters building (donated). The deferred income will be recognized over the remaining lives of the buildings.

The overall reduction of CHF 0.9m is accounted for by payment of the eighth loan instalment of CHF 0.4m and release of CHF 0.5m of deferred income in relation to donated assets in line with the corresponding depreciation of these assets.

The cash value of the loan at the end of 2017 was CHF 16.8m.

d) Reserves

	2017	2016
	CHFm	CHFm
Reserves		
Reserve for statutory meetings	0.5	-
Other reserves	0.7	-
Renovation fund reserve	0.9	0.9
Designated reserves	2.0	0.9
IUCN Fund	8.6	8.6
Retained surpluses	9.5	9.5
Currency translation adjustment	1.4	1.3
Unrestricted reserves	19.4	19.4
Total designated and unrestricted	21.5	20.3

Extract from Funds and Reserves Statement, page 4 of the Audited Financial Statements

Designated and unrestricted reserves show an overall increase of CHF 1.2m. This corresponds to the net surplus of CHF 1.1m plus a marginal increase of CHF 0.1m on the currency translation adjustment reserve.

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IUCN – International Union for Conservation of Nature and Natural Resources

CONSOLIDATED BALANCE SHEET AS OF 31 DECEMBER 2017

Report Currency: CHF ('000)

	Notes	31.12.2017	31.12.2016
ASSETS			
Current assets			
Cash and short term bank deposits	III	48,935	37,777
Financial assets	IV	16,482	14,005
Membership dues receivables (net)	V	1,646	1,592
Staff receivables	VI	453	649
Receivables from partner organisations	VII	475	277
Advances to implementing partners and grantees	VIII	12,512	7,722
Prepayments		1,020	756
Donor funds receivable		3,318	2,793
Project agreement receivables	IX	14,073	16,300
Framework agreements receivables	X	510	-
Other account receivables		1,222	966
Total Current assets		100,646	82,837
Non-current assets			
Fixed assets (net)	XI	30,358	31,864
Intangible assets (net)	XII	369	975
Total Non-current assets		30,727	32,839
TOTAL ASSETS		131,373	115,676
LIABILITIES AND FUND BALANCES			
Current liabilities			
Membership dues paid in advance		1,409	1,977
Accounts payable and accrued liabilities	XIII	13,907	7,593
Social charges payable		354	608
Project agreement advances	IX	57,885	50,179
Deferred income framework agreements	XVII	1,196	103
Deferred income buildings	XVII	463	511
New building loan	XVIII	174	171
Advances from hosted organisations	XV	511	589
Miscellaneous current liabilities		635	225
Total Current liabilities		76,534	61,956
Provisions			
Projects in deficit	XVI	2,171	1,495
Staff leave and repatriation		2,135	2,042
Staff termination	XVI	1,576	1,450
Other provisions		-	39
Total Provisions		5,882	5,026
Non-current liabilities			
Long term deferred income	XVII	16,360	17,085
New building loan	XVIII	11,124	11,298
Total Non-current liabilities		27,484	28,383
Funds and Unrestricted Reserves			
Designated reserves	XIX	2,025	849
Unrestricted reserves	XIX	19,448	19,462
Total Funds and Unrestricted Reserves		21,473	20,311
TOTAL LIABILITIES AND FUND BALANCES		131,373	115,676

IUCN – International Union for Conservation of Nature and Natural Resources

CONSOLIDATED INCOME AND EXPENDITURE STATEMENT FOR THE YEAR ENDED 31 DECEMBER 2017

Report Currency: CHF ('000)

	2017			2016			
	Notes	Secretariat Unrestricted	Project Agreements	Total	Secretariat Unrestricted	Project Agreements	Total
EXTERNAL OPERATING INCOME							
Membership dues		11,735	-	11,735	12,932	-	12,932
Retention of staff income tax	XX	1,292	-	1,292	1,319	-	1,319
Agreements income		5	95,123	95,128	90	94,453	94,543
Framework income	XXI	12,578	-	12,578	13,877	-	13,877
Other operating income	XXII	4,450	278	4,728	3,514	3,670	7,184
TOTAL EXTERNAL OPERATING INCOME		30,060	95,401	125,461	31,732	98,123	129,855
INTERNAL ALLOCATIONS							
Framework allocations to projects		-	-	-	-	-	-
Cross charges from projects		36,402	(36,402)	-	36,722	(36,722)	-
Other internal allocations		961	(961)	-	250	(250)	-
TOTAL INTERNAL ALLOCATIONS		37,363	(37,363)	-	36,972	(36,972)	-
OPERATING EXPENDITURE							
Staff costs		52,077	6,576	58,653	53,003	6,771	59,774
Consultants		1,579	18,992	20,571	1,802	18,272	20,074
Grants to partners		481	4,920	5,401	627	5,595	6,222
Travel		2,365	12,085	14,450	3,017	15,226	18,243
Workshops and conferences		290	1,897	2,187	523	2,675	3,198
Publications and printing costs		299	2,303	2,602	296	2,660	2,956
Office and general administrative costs		3,894	4,835	8,729	3,995	3,159	7,154
Vehicles & equipment - costs & maintenance		955	6,911	7,866	927	4,722	5,649
Professional fees or costs		590	637	1,227	661	632	1,293
Depreciation and amortization		2,959	8	2,967	3,206	5	3,211
TOTAL OPERATING EXPENDITURE		65,489	59,164	124,653	68,057	59,717	127,774
NET OPERATING SURPLUS/(DEFICIT)		1,934	(1,126)	808	647	1,434	2,081
OTHER INCOME - EXPENDITURE							
Interest income	XVIII	501	6	507	553	30	583
Financial charges	XVIII	(538)	(186)	(724)	(557)	(245)	(802)
Capital gains (losses)	IV	274	-	274	86	-	86
Net gains/(losses) on foreign exchange		292	718	1,010	(396)	(89)	(485)
Exchange differences on revaluation of project balances	XXIII	-	573	573	-	324	324
Net movements in provision and write-offs		(1,331)	15	(1,316)	(2,163)	189	(1,974)
2016 Congress project surplus	XXV	-	-	-	1,643	(1,643)	-
TOTAL OTHER INCOME - EXPENDITURE		(802)	1,126	324	(834)	(1,434)	(2,268)
NET SURPLUS/(DEFICIT) FOR THE YEAR		1,132	-	1,132	(187)	-	(187)

IUCN – International Union for Conservation of Nature and Natural Resources

CONSOLIDATED FUNDS AND RESERVE STATEMENT FOR THE YEAR ENDED 31 DECEMBER 2017

Report Currency: CHF ('000)

	Designated Reserves					Unrestricted Reserves			Total	
	Reserve for Statutory Meetings	Other Designated Reserves	Programme Reserves	Renovation Fund	Total Designated Reserves	Currency Translation Reserve	IUCN Fund	Retained Surpluses		Total Unrestricted Reserves
Balance as at 1 January 2016	103	541	5,301	825	6,770	1,636	8,621	3,778	14,035	20,805
Net surplus/(deficit) for the year	-	-	-	-	-	-	-	(187)	(187)	(187)
Foreign exchange adjustment	-	-	-	-	-	(307)	-	-	(307)	(307)
Allocation to renovation fund	-	-	-	24	24	-	-	(24)	(24)	-
Release from other designated reserves	-	(541)	-	-	(541)	-	-	541	541	-
Release from reserve for statutory meetings	(103)	-	-	-	(103)	-	-	103	103	-
Release from Programme reserves	-	-	(5,301)	-	(5,301)	-	-	5,301	5,301	-
Balance as at 31 December 2016	-	-	-	849	849	1,329	8,621	9,512	19,462	20,311
Balance as at 1 January 2017	-	-	-	849	849	1,329	8,621	9,512	19,462	20,311
Net surplus/(deficit) for the year	-	-	-	-	-	-	-	1,132	1,132	1,132
Foreign exchange adjustment	-	-	-	-	-	30	-	-	30	30
Allocation to renovation fund	-	-	-	16	16	-	-	(16)	(16)	-
Allocation to other designated reserves	-	671	-	-	671	-	-	(671)	(671)	-
Allocation to reserve for statutory meetings	489	-	-	-	489	-	-	(489)	(489)	-
Balance as at 31 December 2017	489	671	-	865	2,025	1,359	8,621	9,468	19,448	21,473

IUCN – International Union for Conservation of Nature and Natural Resources

CONSOLIDATED CASH FLOW STATEMENT FOR THE YEAR ENDED 31 DECEMBER 2017

Report Currency: CHF ('000)

	Notes	2017	2016
Cash flow from operations			
Surplus/(deficit) from operations		1,132	(187)
Effect of exchange rate	XIX	30	(307)
Net balance from operations		1,162	(494)
Depreciation of fixed assets	XI	2,329	2,602
Amortisation and write-down of intangible assets	XII	636	671
Increase / (decrease) in provisions for projects in deficit	XVI	676	431
Increase / (decrease) in staff leave and repatriation liabilities		93	711
Increase / (decrease) in the provision for staff termination	XVI	126	(45)
Increase / (decrease) in other provisions		(39)	(168)
(Increase) / decrease in membership dues receivables (net)	V	(54)	430
(Increase) / decrease in staff receivables	VI	196	(130)
(Increase) / decrease in receivables from partner organisations	VII	(198)	496
(Increase) / decrease in advances to implementing partners	VIII	(4,790)	178
(Increase) / decrease in prepayments		(264)	980
(Increase) / decrease in donor funds receivable		(525)	(144)
(Increase) / decrease in project agreement receivables	IX	2,227	(4,042)
(Increase) / decrease in framework agreements receivable	X	(510)	623
(Increase) / decrease in other accounts receivable		(256)	(145)
Increase / (decrease) in membership dues paid in advance		(568)	(34)
Increase / (decrease) in accounts payable and accrued liabilities	XIII	6,314	1,162
Increase / (decrease) in social charges payable		(254)	277
Increase / (decrease) in project agreement advances	IX	7,706	2,203
Increase / (decrease) in miscellaneous current liabilities		409	143
Increase / (decrease) in hosted organisations advances	XV	(80)	(140)
(Gain)/loss on disposal of fixed assets	XI	25	43
Total cash flow from operations		14,361	5,608
Cash flow from investing activities			
Purchase of fixed assets	XI	(845)	(1,275)
Net movement in financial assets	IV	(2,477)	487
Purchase of intangible assets	XII	(30)	(81)
Total cash flow from investing activities		(3,352)	(869)
Cash flow from financing activities			
Increase / (decrease) in loan	XVIII	(171)	(167)
Increase / (decrease) in current deferred income	XVII	1,045	(31)
Increase / (decrease) in long-term deferred income	XVII	(725)	(623)
Total cash flow from financing activities		149	(821)
Net cash inflow for the year		11,158	3,918
Cash and short term deposits at the beginning of the year	III	37,777	33,859
Cash and short term deposits at the end of the year	III	48,935	37,777

IUCN – International Union for Conservation of Nature and Natural Resources

Notes to the financial Statements for the Year ended 31 December 2017

All amounts in CHF ('000) unless otherwise stated

I. ORGANISATION AND ACTIVITY

IUCN, International Union for Conservation of Nature and Natural Resources is a membership organisation constituted by statutes adopted in 1948 at a conference convened by the Republic of France. The membership is comprised of states, governmental agencies, international and national non-governmental organizations, and indigenous peoples organisations. IUCN is registered in Gland, Switzerland as an association under article 60 of the Swiss Civil Code and is solely responsible, to the exclusion of its members, for all its transactions and commitments.

The highest governing body of IUCN is the World Conservation Congress which is composed of the membership of IUCN. The World Conservation Congress elects the Council which has authority to govern IUCN between meetings.

In 1986, IUCN concluded a fiscal agreement with the Swiss government which granted IUCN exemption from all Swiss taxes. IUCN has been granted observer status at the United Nations.

The mission of IUCN is 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.

II. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES AND DEFINITIONS

All amounts are expressed in thousands of Swiss francs (CHF) unless otherwise indicated.

1. Accounting convention

The financial statements are prepared under the historical cost convention except for financial assets and loans that are measured at revalued amount or at fair value. The financial statements are prepared in accordance with the provisions of the Swiss Code of Obligations.

2. Basis of consolidation

The consolidated financial statements include all offices of IUCN and those entities over which IUCN has the power to govern the financial and operating policies so as to obtain benefits from their activities.

Branches:

- Asia Region
 - Asia Regional Office (Thailand)
 - Bangladesh Country Office
 - Cambodia Country Office
 - China Country Office
 - India Country Office
 - Indonesia Project Office
 - Lao PDR Country Office
 - Maldives Project Office
 - Myanmar Project Office
 - Nepal Country Office
 - Pakistan Country Office
 - Sri Lanka Country Office
 - Thailand Country Office
 - Vietnam Country Office

IUCN – International Union for Conservation of Nature and Natural Resources

Notes to the financial Statements for the Year ended 31 December 2017

All amounts in CHF ('000) unless otherwise stated

Eastern and Southern Africa Region

- Eastern and Southern Africa Regional Office (Kenya)
- Djibouti Project Office
- Mozambique Country Office
- Rwanda Project Office
- South Africa Country Office
- Tanzania Country Office
- Uganda Country Office
- Zimbabwe Country Office

- Eastern Europe and Central Asia Regional Office (Serbia)
- Environmental Law Centre (Germany)
- Mediterranean Office (Spain)
- Oceania Regional Office (Fiji)
- Mexico, Central America and the Caribbean Region
 - Mexico, Central America and the Caribbean Regional Office (Costa Rica)
 - El Salvador Project Office
 - Guatemala Project Office
 - Honduras Project Office
 - Mexico Project Office
- South America Region
 - South America Regional Office (Ecuador)
 - Brazil Country Office
- UK Species Programme (United Kingdom)
- Western and Central Africa Region
 - Western and Central Africa Regional Office (Burkina Faso)
 - Burkina Faso Country Office
 - Cameroon Country Office
 - Democratic Republic of Congo Country Office
 - Ghana Project Office
 - Guinea Project Office
 - Guinea Bissau Country Office
 - Mali Country Office
 - Mauritania Country Office
 - Niger Project Office
- West Asia Regional Office (Jordan)
- Washington, DC Office

Other entities:

- The International Union for the Conservation of Nature and Natural Resources, Registered Trustees (WASAA Trust Fund, Nairobi)
- IUCN, Bureau de Représentation auprès de l'Union Européenne aisbl
- Associação IUCN
- IUCN UK (A Company Limited by Guarantee)
- IUCN Maldives
- IUCN PNG Mangrove Rehabilitation and Management Project Association

IUCN – International Union for Conservation of Nature and Natural Resources

Notes to the financial Statements for the Year ended 31 December 2017
All amounts in CHF ('000) unless otherwise stated

3. Currency of accounts

a) Reporting currency

In accordance with IUCN's Regulations, the reporting currency for the consolidated financial statements is Swiss francs (CHF).

b) Functional currency

A separate set of accounts is maintained for each country where IUCN has a presence. The functional currency for each country is the national currency of the country with the exception of Fiji (USD), Costa Rica (USD) and Serbia (EUR) where the currency chosen better reflects the economic environment in which the office operates.

4. Foreign exchange

The following accounting policies are applied when converting transactions and balances to the reporting currency:

- Transactions denominated in currencies other than the office ledger currency are converted to the ledger currency and recorded on the basis of the exchange rate prevailing at the date of the transaction. At the end of the year all balances maintained in transaction currencies are translated to the currency of the office ledger at the year-end rate. The gains and losses incurred are recognised in the income statement of each office ledger.
- Except for fixed assets which are stated at historical values, non-Swiss franc balances in the consolidated balance sheet are translated to CHF at the year-end exchange rate and the resulting net unrealised gain or loss included in the balance sheet as a currency translation adjustment reserve.
- Project balances are expressed in the currency of the ledger in which they reside. Project balances in currencies other than CHF are translated to CHF at the year-end exchange rate. The resulting net unrealised gain or loss is recognized in the currency translation adjustment reserve.
- If, as a result of the application of the above translation policies, a net deficit would occur on the currency translation adjustment reserve the deficit would be recognized in the income and expenditure statement.

5. Income

Income comprises membership dues from members, contributions from donors, investment income, Swiss government tax rebates, rental of office space, and sundry income from the sale of other goods and services.

a) Membership dues

Membership dues are fixed by the World Conservation Congress, the supreme governing body of IUCN, and are recognised as unrestricted income in the year they fall due.

b) Voluntary donations

Voluntary donations comprise framework agreements with donors for the core activities of IUCN and project agreements for project activities.

Framework agreements income

Framework agreements are normally for periods of more than one year and may be subject to general restrictions in their use in terms of geography or thematic area.

IUCN – International Union for Conservation of Nature and Natural Resources

Notes to the financial Statements for the Year ended 31 December 2017

All amounts in CHF ('000) unless otherwise stated

Framework agreements income is recognized in the income statement as unrestricted income once the agreement has been signed and in accordance with the amounts specified in the agreement for each calendar year. Framework agreements income received in advance of the period to which it relates is recorded as deferred unrestricted income.

Framework in-kind contributions

In-kind contributions of staff are recognised at fair value over the period of the employment contract as both income and expenditure in the Consolidated Income and Expenditure Statement. The fair value of in-kind staff is taken as the average cost that would be incurred by IUCN, if it were to directly employ a person in a similar position.

Project agreements income

Project agreements income is restricted for specific project activities detailed in project agreements and subject to specific conditions imposed by the donor. Income is recognised as expenditure is incurred. At year end, the balance of projects are recorded as "Project agreement receivables" (current assets) where expenditure incurred on projects exceeded amounts advanced by donors, and under "Project agreement advances" (current liabilities) where advances from donors exceeded expenditure incurred.

c) Retention of staff income tax

Non-Swiss staff resident in Switzerland are exempt from paying taxes on their IUCN earnings on the basis of a fiscal agreement between IUCN and the Swiss Government, which entered into effect on 1st January 1987. In order to ensure equitable treatment of both Swiss and non-Swiss staff at Headquarters, an internal tax is levied on non-Swiss staff resident in Switzerland. This is shown as Retention of staff income tax in the Consolidated Income and Expenditure Statement and is classified as unrestricted income.

6. Expenditure

All unrestricted expenditure and project expenditure is accounted for on an accruals basis.

7. Cross charges from projects

Cross charges from projects represent transfers between Project agreements and Secretariat unrestricted funds and comprise staff time charged to projects and indirect costs funded from projects.

Staff time charges

IUCN staff costs are recorded as unrestricted costs. Staff working on projects charge their time spent on projects through a time recording system. Project agreements are charged the cost of staff time and the Secretariat unrestricted fund receives the income.

Indirect cost recoveries

Indirect costs are recorded as unrestricted costs. Indirect costs funded from project agreements are cross charged to projects and the Secretariat unrestricted fund receives the income.

8. Financial assets

Financial assets are recorded at fair value. Gains or losses arising from changes in fair values of financial assets are recognized in the income statement in the year that they occur as are foreign exchange gains or losses resulting from the revaluation of financial assets denominated in currencies other than the CHF.

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9. Fixed assets

a) Purchased assets

Purchased fixed assets are capitalised when the purchase price is one thousand CHF or above, or the equivalent in other currencies, and when ownership resides with IUCN.

b) In-kind assets

In-kind contributions of fixed assets are capitalised at fair value and the donations recorded as deferred income which is then recognised in the income statement over the estimated useful life of the assets in line with the depreciation charges.

c) Depreciation

Fixed assets are depreciated over their estimated useful lives on the following basis:

Computer hardware	3 years
Vehicles	4 - 7 years
Office furniture and equipment	4 - 7 years
Building renovations	10 - 20 years
Building installations	20 years
Building infrastructures	50 years

d) Donations for the purchase of fixed assets

Cash donations received for the purchase of fixed assets are recorded as deferred income and recognised in the income statement over the estimated useful life of the corresponding asset in line with the depreciation charge.

10. Intangible assets

Purchased computer software is capitalized on the basis of the costs incurred to acquire the software and bring it to its point of use.

Software is depreciated over its estimated useful life on a straight line basis over 5 to 7 years.

The cost of developing in-house software is expensed in the year that the costs are incurred.

11. Provisions

a) Provision for membership dues receivable

A general provision for outstanding membership dues is made to recognise the probability that not all dues will be received. The increase or decrease in the total provision is recognised in the income and expenditure statement. Provision for membership dues in arrears is calculated on the following basis, based on the outstanding balance at the close of the year.

Membership dues outstanding for:

Four years or more	100%
Three years	100%
Two years	67%
One year	33%

The provision against the arrears of some state members and state agencies is calculated on an individual basis after a review of their own special situations.

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Full provision is made against the dues owed by Members whose rights have been rescinded by the IUCN World Conservation Congress.

b) Provision for projects in deficit

A provision for projects in deficit is made in respect of those projects where expenditure has exceeded income and where the receipt of future additional funds to cover the excess expenditure is uncertain.

c) Staff terminations

Provision is made for the estimated cost of known redundancies. A redundancy is considered to be known when a management decision has been taken and communicated to the staff concerned.

Additional provision is made when there is a local legal obligation.

d) Staff leave and repatriation

Provision is made for holiday entitlement which has not been used by staff at the year-end. The balance at the year-end also includes the estimated cost of repatriation of international staff.

12. Loans at below market rate of interest

Loans are initially measured at fair value. The benefit of the below-market rate of interest is measured as the difference between the initial carrying value of the loan and the proceeds received. The benefit is recorded as deferred income and recognised over the period of the loan. The market rate of interest is reviewed annually and the carrying value adjusted for significant movements in the market rate.

An amount equivalent to the interest that would have been incurred had the loan been acquired at a market rate is recognised as both an income and an expense in the income and expenditure statement on an annual basis.

13. Hosted organisations

IUCN hosts certain organisations. A hosted organisation has no legal status in the country of operation and therefore operates under the legal umbrella of IUCN. A hosted organisation is operationally autonomous and is accountable to its own management and governance structures and not to IUCN.

Income received and expenditure incurred on behalf of a hosted organisation is accounted for in separate project accounts and excluded from consolidation. Funds held by IUCN on behalf of hosted organisations are recorded on the balance sheet as hosted organisation advances.

14. Reserves

IUCN maintains the following reserves:

a) Unrestricted reserves

IUCN Fund

The IUCN Fund is maintained in order to preserve IUCN's capital base. The use of the fund is governed by the IUCN Council and is maintained as a reserve of last resort.

Currency translation reserves

The Currency translation reserve represents changes in the value of the net assets of IUCN at the consolidation level as a result of movements of functional currencies against the Swiss franc.

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Retained surpluses

The Retained surpluses represent other unrestricted reserves.

b) Designated reserves

Designated reserves represent funds set aside from unrestricted reserves to cover the cost of future events or activities. The designation may be reversed at any time by the IUCN Council.

Reserve for statutory meetings

The Reserve for statutory meetings represents amounts allocated from unrestricted funds to cover costs of future meetings of the World Conservation Congress and related preparatory meetings.

Programme reserves

Programme reserves are funds set aside for specific future programme activities or for when unrestricted income is received in one financial year but the associated expenditure is planned in a future financial year.

Renovation fund

The Renovation fund represents funds allocated from unrestricted funds for future renovations of the Headquarters building.

Other Designated reserves

Other Designated reserves represent amounts allocated from unrestricted funds to cover the cost of other future costs or activities.

III. CASH AND SHORT TERM BANK DEPOSITS

Cash and short-term bank deposits include all bank accounts and short-term deposit accounts operated by IUCN worldwide. The analysis by region or office is shown below.

REGION OR OFFICE	2017	2016
Asia	2,294	2,975
Eastern and Southern Africa	2,633	2,191
Eastern Europe and Central Asia	341	65
Europe	1,495	664
Environmental Law Centre, Bonn	378	270
Headquarters	32,722	22,466
Mediterranean	388	726
Mexico, Central America and the Caribbean	2,210	2,632
Oceania	327	785
South America	272	395
United Kingdom	440	692
United States	1,896	1,332
Western and Central Africa	3,241	2,566
West Asia	298	18
Balance at 31 December	48,935	37,777

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IV. FINANCIAL ASSETS

	2017	2016
Bonds	10,834	8,366
Microfinance	2,987	2,793
Equities	1,183	1,457
Convertibles	886	626
Other Investments	592	763
Balance at 31 December	16,482	14,005

At 31 December 2017, an unrealized foreign exchange gain of CHF 3 (2016 – CHF 14 gain) was recognised on the investment portfolio.

During the year, CHF 274 of capital gains (2016 - CHF 86 gain) were realised on the sale of investments.

The Government of Zimbabwe appropriated USD bank accounts of IUCN in 2008. In 2015, treasury bills were issued to IUCN as compensation for the appropriation. The treasury bills have maturity dates to 2019. The treasury bills are recorded at estimated fair value of CHF nil and are included under Bonds.

V. MEMBERSHIP DUES RECEIVABLE AND PROVISION

	2017	2016
Gross membership dues receivable	3,885	4,285
Provision for dues in arrears	(2,239)	(2,693)
Net membership dues receivable at 31 December	1,646	1,592

The provision for membership dues in arrears has been calculated in accordance with the policy described in Note II.11 (a).

	2014 and prior	2015	2016	2017	Total
State member	333	244	699	1,710	2,986
Government agencies	48	73	165	284	570
Indigenous peoples organisations	1	0	0	7	8
International NGOs	1	2	6	8	17
National NGOs	21	22	79	120	242
Affiliates	5	8	15	34	62
Total membership dues receivable	409	349	964	2,163	3,885
Provision for membership dues	(409)	(349)	(744)	(737)	(2,239)
Net membership dues receivable	0	0	220	1,426	1,646

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Movement in provision for membership dues

	2017	2016
Balance at 1 January	2,693	1,627
Addition to /(release from) provision	(26)	1,269
Write off of deficits against provision	(428)	(203)
Balance at 31 December	2,239	2,693

VI. STAFF RECEIVABLES

Staff receivables comprise travel advances, payroll advances and loans to staff outstanding as at 31 December.

	2017	2016
Travel advances	434	533
Payroll advances and staff loans	19	116
Balance at 31 December	453	649

VII. RECEIVABLES FROM PARTNER ORGANISATIONS

Receivables from partner organisations represent balances due from organisations associated with IUCN that are outstanding as at 31 December.

	2017	2016
RAMSAR Convention Secretariat	475	277

VIII. ADVANCES TO IMPLEMENTING PARTNERS

Advances to implementing partners represent amounts advanced to IUCN partners for the implementation of project agreements that were not spent as at 31 December.

	2017	2016
Asia	517	450
Eastern and Southern Africa	408	396
Headquarters	9,477	4,924
Mediterranean	15	61
Mexico, Central America and the Caribbean	274	239
South America	252	69
United Kingdom	220	251
United States	22	299
West Asia	172	127
Western and Central Africa	1,155	906
Balance at 31 December	12,512	7,722

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IX. PROJECT AGREEMENTS RECEIVABLES AND ADVANCES

Receivables and advances on project agreements represent respectively the total of projects with a negative cash balance and the total of projects with a positive cash balance at year end.

	2017	2016
Project agreement receivables	(14,073)	(16,300)
Project agreement advances	57,885	50,179
Balance at 31 December	43,812	33,879

X. FRAMEWORK AGREEMENTS RECEIVABLES

Framework agreements receivables represent framework agreements income due but not received as at the end of the year. As at 31 December 2017 there was CHF 510 receivable compared to CHF nil receivable at 31 December 2016.

XI. FIXED ASSETS

1. Movement in fixed assets

	Building Infrastructures	Building Installations	Other Land and Buildings	Vehicles, Equipment, Furniture & Fixtures	Total
Purchase value:					
Balance as at 31 December, 2015	27,178	13,775	4,911	10,532	56,396
Additions	-	-	157	1,118	1,275
Disposals	-	-	(15)	(1,794)	(1,809)
Balance as at 31 December, 2016	27,178	13,775	5,053	9,856	55,862
Additions	-	-	228	617	845
Disposals	-	-	-	(1,707)	(1,707)
Balance as at 31 December, 2017	27,178	13,775	5,281	8,766	55,000
Depreciation:					
Balance as at 31 December 2015	(8,466)	(5,585)	(861)	(8,250)	(23,162)
Charge for the year 2016	(544)	(575)	(281)	(1,202)	(2,602)
Disposals	-	-	15	1,751	1,766
Balance as at 31 December 2016	(9,010)	(6,160)	(1,127)	(7,701)	(23,998)
Charge for the year 2017	(544)	(575)	(278)	(932)	(2,329)
Disposals	-	-	-	1,685	1,685
Balance as at 31 December 2017	(9,554)	(6,735)	(1,405)	(6,948)	(24,642)
Net book value:					
Balance as at 31 December 2016	18,168	7,615	3,926	2,155	31,864
Balance as at 31 December 2017	17,624	7,040	3,876	1,818	30,358

Fixed assets purchased using unrestricted funds are depreciated over their estimated useful lives as per Note II.9.

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2. Land

In 1990, the commune of Gland gave IUCN the right to use a plot of land for the purpose of building the IUCN Secretariat Headquarters. The right was granted at no cost for a period of 50 years, i.e. until August 2040. In 2008, the commune of Gland gave IUCN the right of use of an adjacent piece of land to the original plot for a period of 50 years, with the permission to construct an extension to the existing IUCN Headquarters building.

3. IUCN Headquarters building

Included in Building Infrastructures and Building Installations is the Headquarters building of IUCN. This consists of an original building and an extension.

a) Original building

The original building was financed by donations received from the Swiss Confederation, the Canton of Vaud and the Commune of Gland. Although IUCN formally owns the Headquarters building, it enjoys a restricted use and cannot dispose of it or use it as collateral without the approval of the Swiss Government. If disposed of, the Swiss Government has the right to recuperate its initial outlay plus a percentage of the value added, if applicable. The cost of the building is included in fixed assets and the net book value is matched by a corresponding value of deferred income to recognise the restricted nature of the building. The deferred income is released over the estimated useful life of the building in line with the depreciation of the building.

In 2014, the Canton of Vaud provided a grant of CHF 600 towards the renovation of the original building. The grant will be released over the estimated useful life of the building renovation (20 years).

b) Building extension

The building extension was financed by an interest free loan from the Swiss Government of CHF 20,000 payable in 50 equal yearly instalments of CHF 400, the first of which was paid in December 2010. In addition to the loan from the Swiss Government, IUCN received cash donations of CHF 4,092 and in-kind donations of CHF 1,787.

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XII. INTANGIBLE ASSETS

As at 31 December 2017 expenditure of CHF 4,728 (2016 - CHF 4,698) had been incurred on the development and implementation of an ERP system and portal applications. The ERP system went “live” at the IUCN Headquarters in July 2011 and has been depreciated from this point.

Movement in Intangible assets

	2017	2016
Purchase value:		
Balance at 1 January	4,408	4,327
Additions	30	81
Balance at 31 December	4,438	4,408
Amortisation:		
Balance as of 1 January	(3,433)	(2,762)
Charge for the year	(636)	(671)
Balance at 31 December	(4,069)	(3,433)
Net Book Value at 31 December	369	975

XIII. ACCOUNTS PAYABLE AND ACCRUED LIABILITIES

Accounts payable and accrued liabilities represent amounts owed to creditors and suppliers as at the end of the year. Of the total outstanding balance of CHF 13,907 as at 31 December 2017 (2016 – CHF 7,593), CHF 10,025 (2016 - CHF 3,342) is related to Headquarters and the balance to regional and country offices.

	2017	2016
Accounts payable and supplier accruals	6,082	5,532
Accruals for implementing partners	7,825	2,061
Balance at 31 December	13,907	7,593

XIV. PENSION FUND OBLIGATIONS

IUCN operates different pension plans in different countries, each conforming to the legal regulations in the respective country. On 31 December 2017, the liability to the pension schemes amounted to CHF 0 (2016 CHF 60).

XV. HOSTED ORGANISATIONS ADVANCES

Hosted organisation advances represent funds held by IUCN on behalf of hosted organisations.

	2017	2016
Balance at 1 January	589	729
Income	3,736	5,204
Expenditure	(3,848)	(4,950)
	477	983
Movement on funds held	34	(394)
Balance at 31 December	511	589

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XVI. PROVISIONS

1. Projects in deficit

The provision for projects in deficit is funded by unrestricted income and covers projects where negotiations are still ongoing but where IUCN considers that it may not be able to obtain additional funds from donors to cover expenditures already incurred.

Movement in project deficit provision

	2017	2016
Balance at 1 January	1,495	1,064
Additions to provision	1,351	835
Utilization of provision	(675)	(404)
Balance at 31 December	2,171	1,495
Region	2017	2016
Asia	497	108
Eastern and Southern Africa Region	302	10
Eastern Europe and Central Asia	17	16
Headquarters	457	938
Mediterranean	79	-
Oceania	426	277
Western and Central Africa	106	73
West Asia	287	73
Balance at 31 December	2,171	1,495

2. Staff termination

The provision for staff termination is calculated separately for each office to comply with local labour laws. Irrespective of local labour law, provision is made for the estimated cost of staff termination when a decision has been made to terminate a member of staff and the decision has been communicated to the individual concerned.

Movement in provision for staff termination

	2017	2016
Balance at 1 January	1,450	1,495
Additions to provision	913	1,016
Utilization of provision	(787)	(1,061)
Balance at 31 December	1,576	1,450

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XVII. DEFERRED INCOME

Deferred unrestricted income represents income received in advance of the period to which it relates.

	2017	2016
Deferred unrestricted income	1,196	103
US deferred rent	-	31
Donations for construction of HQ building extension		
Donations in cash	2,855	2,956
Donations in kind	273	344
Donation in cash for renovation of original building	496	527
	3,624	3,827
Headquarters original building	7,708	8,017
Interest free government loan	5,491	5,721
Total	18,019	17,699
Current		
Deferred unrestricted income	1,196	103
Buildings:		
Original building	339	339
Building extension	124	172
Total buildings	463	511
Total current deferred income	1,659	614
Non-current		
US deferred rent	-	31
Original building	7,400	7,709
Building extension	8,960	9,345
Total long term deferred income	16,360	17,085
Total deferred income	18,019	17,699

IUCN Washington DC Office entered into a long term rental contract and benefits from lower rental costs at the beginning of the ten year contract. In 2014, the lease was extended and will expire in 2025. With the original lease, the office is paying an annual increase in rent of 4%, which is higher than annual inflation estimated at 1.75%. The difference of the low initial rental costs and the higher annual rental increases is recorded as deferred income to straight line the cost over the relevant rental period. The low initial rental cost benefits were gradually eliminated in the lease extension.

Donations received for the headquarters buildings (original and extension) are recorded as deferred income and recognised over the useful life of the corresponding purchased or donated assets (see Note XI 3).

The deferred income on the government loan represents the difference between the fair value of the loan CHF 11,298 (2016 - CHF 11,469) and the outstanding cash value of the loan CHF 16,789 (2016 - CHF 17,190) (see Note XVIII). This difference represents the fair value of the interest saved on the interest free loan granted by the Swiss Government and is recognised over the period of the loan.

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XVIII. NEW BUILDING LOAN

Headquarters building extension loan

	2017	2016
Current	174	171
Non-current	11,124	11,298
Balance at 31 December	11,298	11,469

The Swiss Government provided an interest free loan of CHF 20,000 to finance the headquarters building extension.

The loan is repayable in 50 annual instalments of CHF 400. The first instalment was paid in December 2010.

The fair value of the loan is estimated at CHF 11,298 (2016 - CHF 11,469). The outstanding cash value of the loan has been discounted at a rate of 2% (2016 - 2%) which represents the market interest rate for a 10-year loan based on current market conditions. The difference of CHF 5,491 (2016 - CHF 5,721) between the outstanding cash value and the fair value of the loan is the benefit derived from the interest-free loan and is recorded as deferred income (see Note XVII).

The value of the interest that would have been paid on an equivalent commercial loan of 2% is estimated at CHF 336 (2016 - 2%, CHF 344). This has been recorded in the income and expenditure statement under Interest income to recognize the benefit of the interest free loan and under financial charges to recognize the interest that would have been paid.

XIX. FUNDS AND UNRESTRICTED RESERVES

1. Unrestricted reserves

Currency translation adjustments & foreign exchange gains and losses

Exchange gains and losses at the individual ledger levels are dealt with in the income statement. The net unrestricted loss on exchange for the year amounted to CHF 292 gain (2016 - loss of CHF 396).

Exchange gains and losses on consolidation and translation of ledgers maintained in other currencies to CHF are taken to the currency translation adjustment reserve. The net movement during 2017 was a gain of CHF 30 (2016 - loss of CHF 307).

2. Designated reserves

a) Reserve for statutory meetings

In 2017, CHF 489 (2016 – CHF 103) was allocated to the Reserve for statutory meetings from Retained surpluses to cover future costs for the 2020 Congress (CHF 239) and the Regional Conservation Fora (CHF 250).

b) Other designated reserves

In 2017, CHF 671 (2016 – release from reserve CHF 541) was allocated to Other designated reserves in respect of: the IUCN Commissions - CHF 214 (2016 - release from reserve - CHF 445), External review - CHF 75 (2016 – release from reserve - CHF 96) and systems investments - CHF 382 (2016 – nil).

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c) Programme Reserves

No transfers were made to Programme Reserves during 2017 (2016 – release from reserves – CHF 5,301).

d) Renovation fund

A net allocation of CHF 16 (2016 - CHF 24) was made from Retained surpluses to the Renovation fund to cover future renovation costs of the IUCN Headquarters building.

XX. RETENTION OF STAFF INCOME TAX

Swiss Government tax rebates amounted to CHF 1,292 (2016 – CHF 1,319) and represents the value of taxes that would have been paid by non-Swiss staff in the absence of the Fiscal Agreement between IUCN and the Swiss Government which exempts non-Swiss staff from payroll taxes and which entered into effect on 1 January 1987.

XXI. FRAMEWORK INCOME

Annex A lists Framework Agreements income by donor and details income allocations to the IUCN programme and operational units.

Framework income includes in-kind contributions of CHF 481 (2016 - CHF 307).

XXII. OTHER OPERATING INCOME

Other operating income of CHF 4,450 (2016 - CHF 3,514) shown under Secretariat unrestricted funds includes overhead and management fees from Ramsar Convention Secretariat of CHF 515 (2016 - CHF 536), rental income of CHF 960 (2016 - CHF 866) and recognition of deferred income of donations for the headquarters original building and building extension CHF 511 (2016 - CHF 645). The balance of other operating income is made up of miscellaneous external income received by IUCN both at Headquarters and other offices around the world.

XXIII. EXCHANGE DIFFERENCES ON REVALUATION OF PROJECT BALANCES

Project balances are expressed in the currency of the country ledger. At the end of the year, project balances expressed in non-CHF ledgers are revalued to CHF using the year-end exchange rates. The resulting unrealised gain or loss is recorded as an adjustment to project balances on the balance sheet and the Currency translation adjustment reserve. The net adjustment is passed through the income and expenditure statement for project agreements to reflect the net movement on the project portfolio.

XXIV. AUDIT FEE

The following fees were paid to the auditors of IUCN's financial statements.

	2017	2016
Consolidated financial statement audit	165	189
Other audits	48	126

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XXV. RELATED PARTIES

1. Identity of related parties

a) The Commissions

The Commissions of IUCN are networks of expert volunteers entrusted to develop and advance the institutional knowledge and experience and objectives of IUCN. The Commissions are established by Congress which determines their mandate.

b) The National and Regional Committees

National and Regional Committees are groupings of Members of IUCN from specific states or regions. Their role is to facilitate cooperation among Members and to coordinate the participation of Members in the programme and governance of IUCN.

c) The Convention on Wetlands of International Importance (Ramsar)

Ramsar is hosted by the IUCN Secretariat and operates under its legal personality. It is headed by a Secretary General with sole responsibility for the administration of the convention funds and for all administrative matters, with the exception of those requiring the exercise of legal personality. IUCN provides services to the Ramsar Secretariat in terms of financial and budgetary management, office facilities, human resources management and information technology.

d) TRAFFIC International

TRAFFIC International is a charity registered in the United Kingdom and is a strategic alliance between WWF International and IUCN. The IUCN Secretariat hosts TRAFFIC operations in its offices in Cameroon, Thailand and South Africa where they operate under the legal personality of IUCN.

e) International Union for Conservation of Nature and Natural Resources – US

The International Union for Conservation of Nature and Natural Resources – US is a US registered charity whose main purpose is to raise funds for conservation to be spent in partnership with IUCN and its members.

2. Transactions with related parties

During the course of the year IUCN made contributions of CHF 1,300 to the Commissions (2016 – CHF 1,443). The amount is distributed across the expenditure headings that reflect the nature of the expenses incurred by the Commissions.

During the year and as part of the services IUCN provides to Ramsar, IUCN received funds of CHF 5,488 (2016 – CHF 5,729) and incurred payments of CHF 5,237 (2016 – CHF 5,650) on behalf of Ramsar. At year-end the balance held in trust for Ramsar amounted to CHF 4,466 (2016 – CHF 4,599). These transactions are recorded in Ramsar accounts and financial statements and are therefore not presented in the financial statements of IUCN. During the year, IUCN received fees of CHF 515 (2016 – CHF 536) for the services provided to Ramsar and which are included in Other operating income.

During the year IUCN made contributions of CHF 446 to TRAFFIC International (2016 – CHF 275).

During the year IUCN received funds from the International Union for the Conservation of Nature and Natural Resources – US of USD 791 (CHF 743) and in 2016, USD 1,259 (CHF 1,254) was received.

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Summary of legally controlled entities:

Company	Year-end closing	Currency	Capital	Share of capital	
				2017	2016
The International Union for the Conservation of Nature and Natural Resources, Registered Trustees, (WASAA Trust Fund, Nairobi)	31.12	KES	220,840	100%	100%
IUCN, Bureau de Représentation auprès de l'Union Européenne asbl	31.12	EUR	77	100%	100%
Associação IUCN	31.12	BLR	223	20%	20%
IUCN UK (A Company Limited by Guarantee)	31.12	GBP	115	NA	NA
IUCN Maldives	31.12	MVR	540	100%	100%
IUCN PNG "Mangrove Rehabilitation and Management Project Association	dormant				

XXVI. OPERATING LEASES

At 31 December 2017, IUCN has future minimum office rental commitments amounting to CHF 6,007 (2016 – CHF 5,973) relating to expected rental fees until the end of the lease contract expiring from March 2018 to December 2025.

IUCN has leasing contracts for office equipment and vehicles amounting to CHF 205 (2016 – CHF 136) expiring June 2017 to July 2022.

XXVII. BANK GUARANTEE

At 31 December 2017, IUCN had bank guarantees totalling Mozambique Metical 2,862 (CHF 47) (2016 – EUR 2,071 – CHF 2,220) in favour of an IUCN donor. Cash for an equivalent amount is pledged at the corresponding bank.

ANNEX A – CORE FUNDS UNDER FRAMEWORK AGREEMENTS

All amounts in CHF ('000)

	2017	2017	2016	2016
	Secretariat expenditure	Framework core allocation	Secretariat expenditure	Framework core allocation
Central and West Africa Region	3,738	789	4,272	882
Eastern and Southern Africa Region	4,095	739	4,355	827
Asia Region	7,420	998	7,798	1,115
Meso America and Caribbean	4,274	480	3,979	545
South America and Brazil	1,469	383	1,190	481
European Regional Office, Brussels	844	-	820	-
Eastern Europe and Central Asia Regional Office	396	-	396	-
West Asia Region	1,030	386	1,218	439
Mediterranean Cooperation Centre	1,353	-	1,035	-
Oceania	1,623	389	1,910	442
Washington DC Office	1,085	-	1,125	-
Sub Total Regional Components	27,327	4,164	28,097	4,731
Director's Office, Biodiversity Conservation Group	377	493	466	493
Species Programme	3,056	676	3,243	803
Protected Areas Programme	1,570	529	1,347	541
World Heritage Programme	1,003	385	1,038	407
Traffic International	446	446	573	275
Sub Total Biodiversity Conservation Group	6,452	2,529	6,667	2,518
Director's Office, Nature-based Solutions Group	508	440	523	441
Ecosystem Management Programme	1,321	324	1,418	260
Forest & Climate Change Programme	2,597	321	2,908	382
Marine & Polar Programme	1,783	424	1,521	445
Water & Food Security Programme	1,049	298	1,114	356
Business & Biodiversity Programme	1,185	338	1,344	401
Governance and Rights Programme	1,134	532	1,585	818
Sub Total Nature-based Solutions Group	9,577	2,677	10,411	3,103
Director's Office, Programme & Policy Group	414	455	427	480
Economic Knowledge	504	291	-	-
Science and Knowledge Unit	894	762	842	795
Global Policy Unit	641	600	609	574
Environmental Law Programme	1,100	413	1,153	504
GEF Coordination Unit	681	607	669	684
Sub Total PPG - Programme & Policy Group	4,234	3,128	3,700	3,037
Commission on Education and Communication	124	209	229	232
Commission on Ecosystem Management	179	209	244	232
World Commission on Environmental Law	138	220	175	244
World Commission on Protected Areas	184	218	231	242
Species Survival Commission	246	235	277	261
Commission on Environment, Economics and Social Policy	175	209	224	232
Sub Total Commissions	1,046	1,300	1,378	1,443
Director's office, Union Development Group	851	-	1,638	-
Governance	636	-	652	-
Sub Total Union Development	1,487	-	2,291	-
Directorate	1,471	145	1,558	159
Office of the Legal Adviser	461	-	511	-
Oversight Unit	209	-	246	-
Planning, Monitoring & Evaluation Unit	531	595	539	654
Global Communications Unit	1,130	-	1,252	167
Finance Group	1,862	-	2,159	-
Global Programme Operations Unit	844	-	-	-
Human Resources Management Group	1,202	-	1,252	-
Strategic Partnerships Unit	569	-	638	-
General Services Unit	2,997	-	3,066	-
Information Systems Group	4,067	-	4,249	-
Sub Total Corporate Support Units	15,343	740	15,471	981
OVERALL TOTAL	65,466	14,538	68,015	15,811
Non-operating expenditure	23	-	42	-
Operating expenses as per the Income & Expenditure Statement	65,489	14,538	68,057	15,811
Reconciliation of Framework Income to the Financial Statements		2017		2016
Overall Total allocations as above		14,538		15,811
Realised foreign exchange on cash contributions		-		6
Surplus/(Deficit) at year-end transferred to unrestricted reserve		(1,960)		(1,941)
Total Funding Framework Agreements		12,578		13,877

ANNEX A – CORE FUNDS UNDER FRAMEWORK AGREEMENTS

All amounts in CHF ('000)

	2017	2016
Framework Agreement Partners	TOTAL	TOTAL
Ministry of Foreign Affairs (DANIDA) - Denmark	-	3,527
Agence Française de Développement (AFD), Ministry for Europe and Foreign Affairs (MEAE), Ministry of Ecological and Inclusive Transition (MTES), Ministry of Agriculture and Food (MAA); Ministry of Overseas Territories (MOM) – France	481	924
MAVA Fondation pour la Nature – Switzerland	1,000	1,000
Ministry of Environment, Republic of Korea (MOE) – Korea	500	600
Ministry of Foreign Affairs – Finland	410	375
Norwegian Agency for Development Cooperation (NORAD) – Norway	2,524	2,507
Swedish International Development Agency (Sida) – Sweden	4,627	2,893
Swiss Agency for Development and Cooperation (SDC) – Switzerland	2,200	2,050
U.S. Department of State	836	-
Total Funding Framework Agreements	12,578	13,877

Framework income allocations are made on the basis of budgeted income at the start of the year. The difference between allocations made and actual income received is taken to unrestricted reserves. This is compensated by balances on other funding sources to arrive at the overall result for the year.

***IUCN, International Union for
Conservation of Nature and
Natural Resources***

Gland

***Report of the
statutory auditor to the
Council on the consolidated
financial statements 2017***





Report of the statutory auditor to the Council of IUCN, International Union for Conservation of Nature and Natural Resources Gland

Report on the audit of the consolidated financial statements

Opinion

We have audited the consolidated financial statements of IUCN, International Union for Conservation of Nature and Natural Resources, which comprise the consolidated balance sheet as at 31 December 2017, consolidated income and expenditure statement, consolidated funds and reserve statement, consolidated cash flow statement and notes for the year then ended, including a summary of significant accounting policies.

In our opinion, the accompanying consolidated financial statements as at 31 December 2017 comply with Swiss law, IUCN Statutes, as well as with the consolidation and valuation principles described in the notes.

Basis for opinion

We conducted our audit in accordance with Swiss law, International Standards on Auditing (ISAs) and Swiss Auditing Standards. Our responsibilities under those provisions and standards are further described in the “Auditor’s responsibilities for the audit of the consolidated financial statements” section of our report.

We are independent of the Group in accordance with the provisions of Swiss law and the requirements of the Swiss audit profession and we have fulfilled our other ethical responsibilities in accordance with these requirements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

Other information in the annual report

The Management is responsible for the other information in the annual report. The other information comprises all information included in the annual report, but does not include the consolidated financial statements, the stand-alone financial statements of IUCN, International Union for Conservation of Nature and Natural Resources and our auditor’s reports thereon.

Our opinion on the consolidated financial statements does not cover the other information in the annual report and we do not express any form of assurance conclusion thereon.

In connection with our audit of the consolidated financial statements, our responsibility is to read the other information in the annual report and, in doing so, consider whether the other information is materially inconsistent with the consolidated financial statements or our knowledge obtained in the audit, or otherwise appears to be materially misstated. If, based on the work we have performed, we conclude that there is a material misstatement of this other information, we are required to report that fact. We have nothing to report in this regard.

Responsibilities of the Management for the consolidated financial statements

The Management is responsible for the preparation of the consolidated financial statements in accordance with the provisions of Swiss law, and for such internal control as the Management determines is necessary



to enable the preparation of consolidated financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the consolidated financial statements, the Management is responsible for assessing the Group's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the Management either intends to liquidate the Group or to cease operations, or has no realistic alternative but to do so.

Auditor's responsibilities for the audit of the consolidated financial statements

Our objectives are to obtain reasonable assurance about whether the consolidated financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with Swiss law, ISAs and Swiss Auditing Standards will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these consolidated financial statements.

As part of an audit in accordance with Swiss law, ISAs and Swiss Auditing Standards, we exercise professional judgment and maintain professional scepticism throughout the audit. We also:

- Identify and assess the risks of material misstatement of the consolidated financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Group's internal control.
- Evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made.
- Conclude on the appropriateness of the Management's use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the Group's ability to continue as a going concern. If we conclude that a material uncertainty exists, we are required to draw attention in our auditor's report to the related disclosures in the consolidated financial statements or, if such disclosures are inadequate, to modify our opinion. Our conclusions are based on the audit evidence obtained up to the date of our auditor's report. However, future events or conditions may cause the Group to cease to continue as a going concern.
- Obtain sufficient appropriate audit evidence regarding the financial information of the entities or business activities within the Group to express an opinion on the consolidated financial statements. We are responsible for the direction, supervision and performance of the Group audit. We remain solely responsible for our audit opinion.

We communicate with the Management or its relevant committee regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that we identify during our audit.

Report on other legal and regulatory requirements

In accordance with article 818 paragraph 1 CO in connection with article 728a paragraph 1 item 3 CO and Swiss Auditing Standard 890, we confirm that an internal control system exists which has been designed for the preparation of consolidated financial statements according to the instructions of the Management.

We recommend that the consolidated financial statements submitted to you be approved.



PricewaterhouseCoopers SA

Yves Cerutti
Audit expert
Auditor in charge

Fanny Chapuis
Audit expert

Geneva, 2 May 2018

Enclosure:

- Consolidated financial statements (consolidated balance sheet, consolidated income and expenditure statement, consolidated funds and reserve statement, consolidated cash flow statement and notes)

DRAFT

IUCN, INTERNATIONAL UNION FOR CONSERVATION OF NATURE
64th Meeting of the Finance and Audit Committee (FAC)
29 April 2018

Investment update

Origin: Chief Financial Officer

Action requested:

The Finance and Audit Committee is requested to TAKE NOTE of the investment update and to APPROVE the small change to policy on the use of derivatives.

Summary

This item comprises:

1. Summary of the investment performance and portfolio structure
2. Small change to Policy on the use of derivatives

1. Summary of the investment performance and portfolio structure

Performance - The table below shows the performance of the portfolio from inception in December 2013 to March 2018:

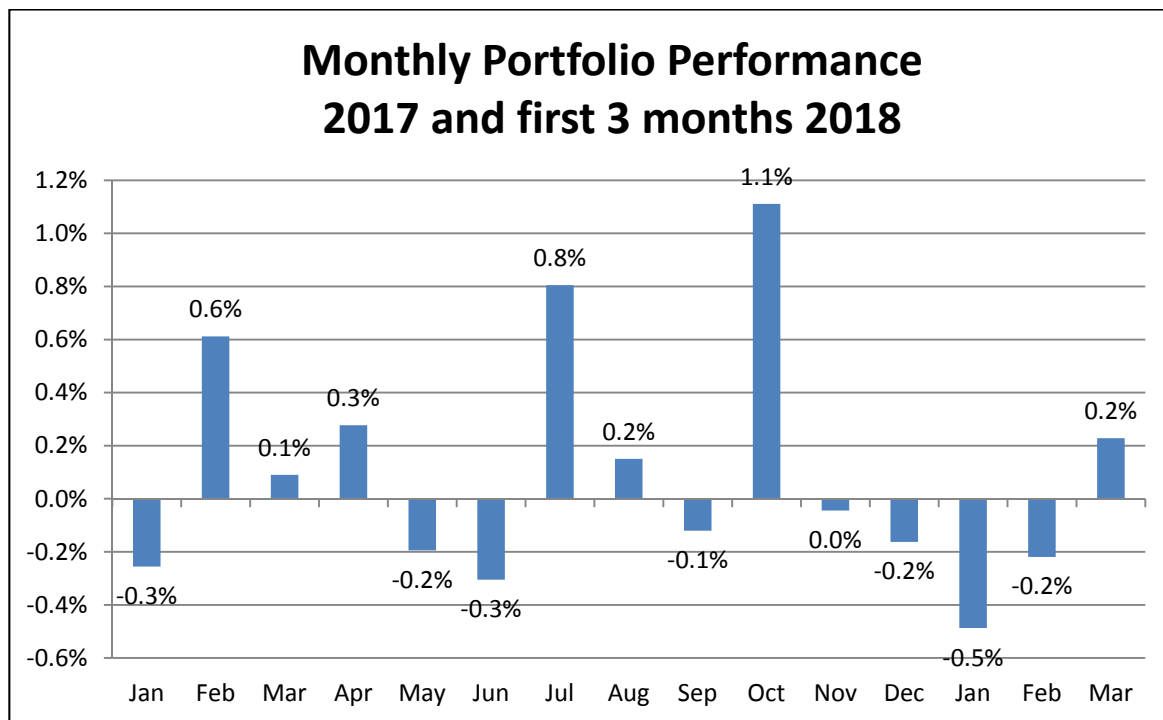
Performance %	
Year	Portfolio
2013*	0.03%
2014	1.37%
2015	-1.90%
2016	1.04%
2017	1.97%
Year to Date - Mar 2018	-0.48%
Average per annum	0.47%
Cumulative Performance	2.00%

* only from 20.12.13

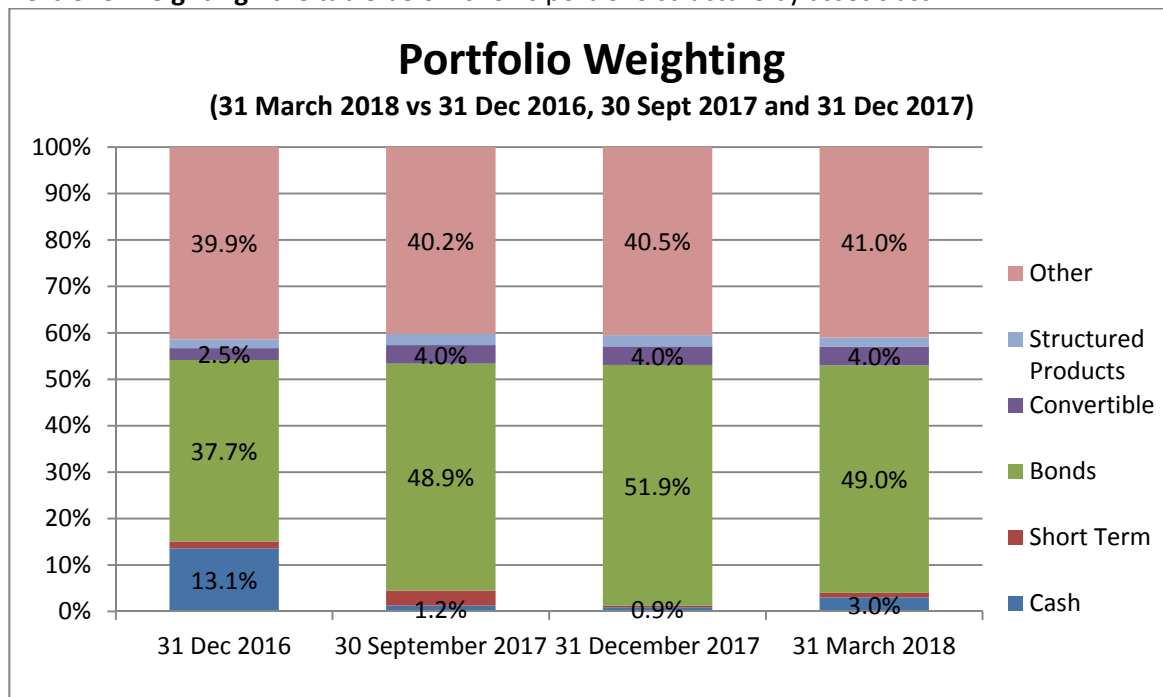
The return for 2017 was 1.97% but for the first 3 months of 2018 it has been minus ½ percent, this has been due to a weak performance from bonds as interest rates have started to rise and to a lesser extent the weakness of the USD vs CHF, the USD weakened by 2% vs CHF from end December to end March 2018. IUCN should not be too concerned about the fall in value of the Bond assets, as generally the bonds are held to maturity, and at that point IUCN would receive the full value of the bond.

The performance in 2015 was negative due to the impact of the uncoupling of the Swiss franc to the Euro that took place in January 2015. This was an exceptional event which resulted in a rapid appreciation of the Swiss franc against other currencies and hence an exchange loss on assets in non-Swiss franc currencies.

Volatility - The overall yield may appear low but the portfolio has a low level of risk and volatility and is also highly liquid. This graph shows monthly performance over the last 15 months:

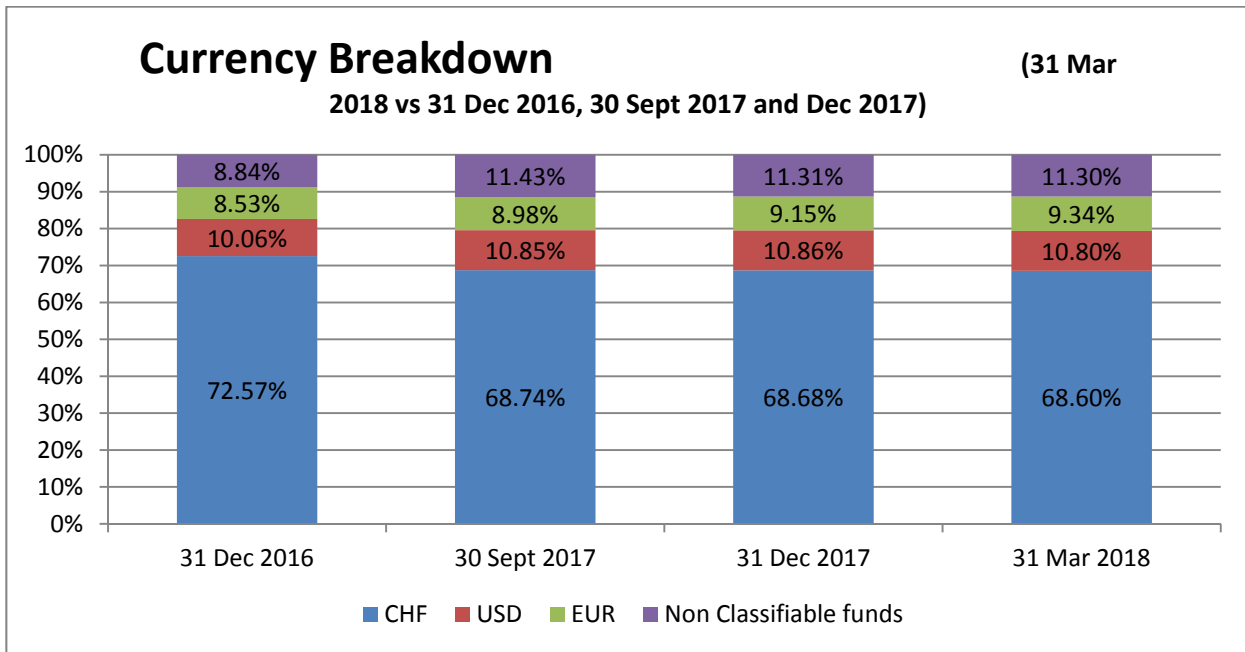


Portfolio Weighting - the table below shows portfolio structure by asset class.



Of the 41% invested in Other, 14% is invested in micro-finance funds; 23% in a risk mitigation fund; and the remaining 4% in general funds.

Currency - The following graph shows portfolio structure by asset currency:



The policy is for 70% of the portfolio to be invested in Swiss francs; 10% in Euro; 10% in USD and 10% in other currencies.

2. Small change to Policy on the use of derivatives

At the last meeting the IUCN Council approved IUCN's Policy on the use of derivatives, this was required by the new Swiss Law, "The Financial Market Infrastructure Act (FMIA)" which entered into force as of 1 January 2016. 2017 was the first year that this policy was audited and the auditors, PWC, recommended some small changes to the policy to ensure the policy's completeness and full compliance with the Swiss Law.

The changes suggested were to add a paragraph regarding the threshold and IUCN's actual classification. Consequently the Secretariat has drafted the following addition to the policy for approval by the IUCN Council.

"Management will ensure that contracts will only be completed at levels which ensure that UICN stays defined as a "Non-Financial Counterparty (NFC-)" and will not contract deals which take UICN above the thresholds as defined in the FMIA legislation, as indicated below.

Classification as a non-financial counterparty (NFC-)

A Non-Financial Counterparty (NFC-) is deemed to be small if all of the rolling averages for its gross positions in relevant outstanding "Over the Counter" derivatives transactions calculated over 30 working days are below the thresholds set in the FMIA.

The thresholds set in article 100 of the FMIA.

The thresholds that shall apply to the average gross positions in outstanding OTC derivatives transactions are as follows:

- Credit derivatives: CHF 1.1. billion
- Equity derivatives: CHF 1.1. billion
- Interest rate derivatives: CHF 3.3 billion
- Currency derivatives: CHF 3.3. billion
- Commodity derivatives and other derivatives: Not applicable"

Policy and Procedure on Forward Contracts for Hedging

Title	Forward Contracts for Hedging
Responsible Unit	Global Finance, Gland
Developed by	Global Finance, Gland
Applicable to	All IUCN Offices
Version 1.1	Revised April 2018

1. Purpose

The purpose of this policy is to define IUCN's use of Forward Foreign Currency Contracts, implementing and maintaining appropriate systems of internal controls for Forward Foreign Currency Contracts.

2. Applicability

The Forward Contracts and Hedging policy applies to all IUCN offices and staff.

3. Background and Guiding Principles

- 1 IUCN will only use Forward Foreign Currency Contracts to hedge currency risk. It will not use Forward Contracts for a speculative trading purpose.
- 2 IUCN receives some funds in Foreign Currencies, other than the main spending currencies Swiss Francs, Euros and USD, for example in Swedish or Norwegian Kronor. For significant contract values IUCN purchase a forward contract to hedge the currency into a "spending" currency. In doing so, IUCN can reduce the risk of currency fluctuation, between the time of signing the contract and receiving the funds.

4. Policy

IUCN Finance can only use Forward Foreign Currency Contracts to hedge currency risk. It will not use Forward Contracts for a speculative trading purpose. There are certain Foreign Currency Contracts which allow for the downside currency risk to be protected, whilst still allowing IUCN to benefit from an upside in the currency movement, these contracts can be considered, as long as the downside risk to IUCN is protected.

IUCN Finance will only engage in Forward Foreign Currency Contracts with a Financial Institution (the counterparty) which is regulated under "Financial Market Infrastructures Act" (FMIA) and the related "Financial Market Infrastructure Ordinances" (FMIO) and will report the IUCN derivative trades to the relevant trade repository recognised or authorised by the FMIO on IUCN's behalf.

As per the Delegation of Authority Policy, the Chief Finance Officer (CFO) derives the authority to engage IUCN in Forward Foreign Currency Contracts from the Director General, and any hedging or derivative contracts have to be approved by the CFO. The CFO will task a member of the Global finance team to evaluate the contract options and the CFO will decide which contract to take. Once the decision has been taken the designated staff member can inform the bank and complete the contract details.

Management will ensure that contracts will only be completed at levels which ensure that UICN stays defined as a "Non-Financial Counterparty (NFC-)" and will not contract deals which take UICN above the thresholds as defined in the FMIA legislation, as indicated overleaf.

5. **Classification as a non-financial counterparty (NFC-)**

A Non-Financial Counterparty (NFC-) is deemed to be small if all of the rolling averages for its gross positions in relevant outstanding “Over The Counter” derivatives transactions calculated over 30 working days are below the thresholds set in the FMIA.

The thresholds set in article 100 of the FMIA.

The thresholds that shall apply to the average gross positions in outstanding OTC derivatives transactions are as follows:

- Credit derivatives: CHF 1.1. billion
- Equity derivatives: CHF 1.1. billion
- Interest rate derivatives: CHF 3.3 billion
- Currency derivatives: CHF 3.3. billion
- Commodity derivatives and other derivatives: Not applicable

IUCN, INTERNATIONAL UNION FOR CONSERVATION OF NATURE
64th Meeting of the Finance and Audit Committee (FAC)
29-30 April 2018

Financial results to end March 2018 and outlook for the year

Origin: Chief Financial Officer

Action requested:

The Finance and Audit Committee is requested to TAKE NOTE of the results to end March.

1. Summary of result to end March

Details of the results for the first quarter 2018 are shown in the attached Annex.

The result as at the end of March is a deficit of CHF 0.3m compared to a breakeven budget.

Membership dues are CHF 3.0m above budget due to the high level of receipts in the first quarter. Receipts will slow down over the coming months but the overall budget is expected to be achieved.

Framework income is CHF 1.7m below budget as only Switzerland has paid so far. All budgetary amounts are secured with the exception of Norway (CHF 2.5m - in negotiation) and the US (CHF 0.6m – dependent on US budgetary approval).

Cost recovery from projects (income derived from projects to fund operating expenditure) was CHF 2.2m below budget. This is linked to the low level of project implementation which was 52% below budget. Expenditure levels are normally low for the first quarter and are expected to pick up as the year progresses and as partners report expenditure. This will be closely monitored.

The reduction in cost recovery is partly compensated for by a reduction in operating expenditure which was CHF 1.3m below budget. Programmes/Regions do their best to align resources with project plans. This is, however, a bit of a balancing act. Most staff work on more than one project. Also, letting staff go due to delays in project starts and then recruiting new staff can add to costs and further delay project starts. And finally, labour laws in some countries (Switzerland being an example) do not allow repeated short-term employment contracts.

2. Outlook for the year

At this point, the outlook for the year is as per budget. However, there are risks. Not all framework funding is secured. In the event that funding becomes unlikely, budget adjustments will be required. The other major risk relates to the level of project implementation. If project implementation falls significantly behind budget there is a risk that staff costs and other operational costs will not be covered in full. This will be closely monitored. As IUCN shifts to a more wholesale delivery model with significant expenditure being incurred through partners and grantees, the level of expenditure become more difficult to forecast as it is not under IUCN's direct control. However, over the long term, a more wholesale approach should reduce IUCN's own staffing requirement as a proportion of total project expenditure, thereby reducing risk.

Financial results for January-March 2018

17 April 2018

M Davis, Chief Financial Officer

1. Summary

The table below shows the financial results for the first quarter of 2018.

	2018 Budget Annual	2018 Budget Jan - Mar	2018 Actual Jan - Mar	Variance actual vs. period	2017 Actual Jan - Mar
	CHF m	CHF m	CHF m	CHF m	CHF m
Membership dues	11.4	2.9	5.8	3.0	4.3
Framework income	11.3	2.8	1.1	(1.7)	1.0
Other unrestricted	6.3	1.6	1.1	(0.4)	1.4
Global Service fee	2.3	0.6	0.2	(0.4)	1.0
Total core income	31.3	7.8	8.3	0.5	7.7
Staff cost recovery	32.4	8.1	6.9	(1.2)	7.1
Indirect cost recovery - Regions	6.4	1.6	0.8	(0.8)	0.7
Indirect cost recovery - HQ	1.3	0.3	0.2	(0.2)	0.2
Total cost recovery	40.1	10.0	7.9	(2.2)	8.0
Total secretariat income	71.4	17.9	16.2	(1.7)	15.7
Staff Cost	54.8	13.7	13.0	(0.7)	12.9
Other Expenditure	16.3	4.1	3.5	(0.5)	4.3
Total expenditure	71.1	17.8	16.5	(1.3)	17.2
Operating surplus/(deficit)	0.3	0.1	(0.3)	(0.4)	(1.5)
Transfer to/(release from) designated reserves	0.3	0.1		(0.1)	-
Net surplus/(deficit)	-	-	(0.3)	(0.3)	(1.5)
Project expenditure net of cost recovery	82.6	20.7	6.8	(13.9)	6.0
Total	153.7	38.4	23.3	(15.2)	23.2

The net result for the first quarter was a deficit of CHF 0.3m.

Main variances:

Positive variances:

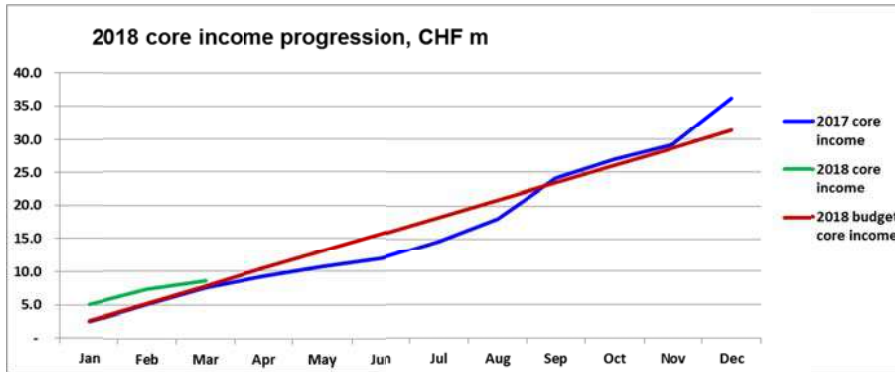
Membership dues above budget CHF 3.0m
Expenditure below budget CHF 1.3m

Negative variances:

Framework income below budget (CHF 1.7m)
Other unrestricted income below budget (CHF 0.4m)
Service income below budget (CHF 0.4m)
Staff cost recovery below budget (CHF 1.2m)
Indirect cost recovery below budget (CHF 1.0m)

2. Core income

The graph below shows the progression of core income received compared to budget and the previous year. Core income was CHF 0.5m above budget for the period, primarily as a result of the high level of membership dues received in the first quarter.



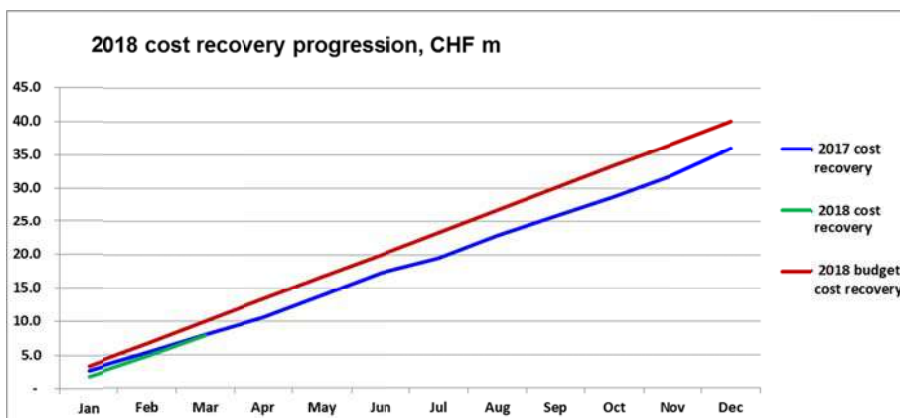
Framework income

CHF m	Budget	Received
Norway	2.6	-
Sweden	4.7	-
Switzerland	1.5	1.0
France	1.0	0.1
Finland	0.4	-
Republic of Korea	0.5	-
United States	0.6	-
Total Framework income	11.3	1.1

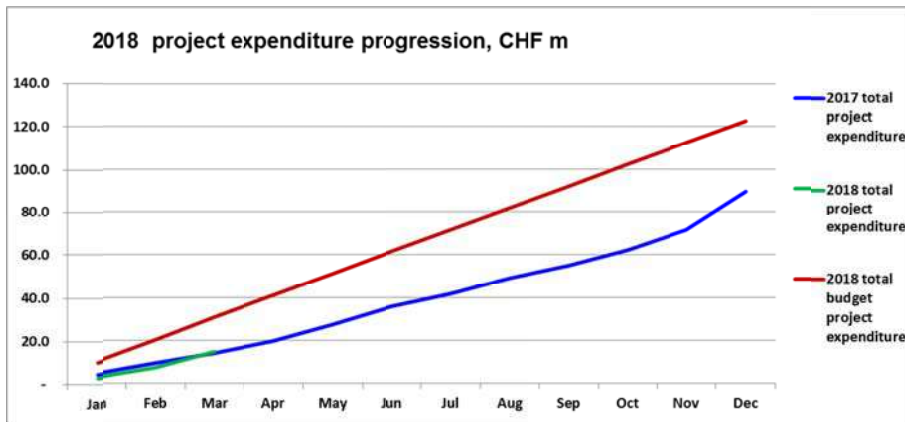
4 year agreements have been signed with Sweden, Switzerland, France, Finland and Korea. Annual allocations are agreed with the US. This amount is at risk and is dependent on US budgetary approval. Negotiations with Norway have commenced for a 3 year agreement (Norway signed a one year agreement for 2017).

3. Cost recovery and project expenditure

The graph below shows cost recovery for the period compared to budget and the previous year.



And the following graph shows total project expenditure for the period compared to budget and the previous year.



Project expenditure was 52% below budget and cost recovery 21% below budget respectively. Both are well below budget, but in line with the previous year.

4. Expenditure

Total expenditure for the period was CHF 16.5m, 7% below budget. This is due to a variety of factors, including some project staff positions not being filled.

5. Risks

Key risks:

1. Framework agreements with the US and Norway not being concluded at the budgeted level
2. Project implementation levels below budget resulting in cost recovery being below budget

IUCN, INTERNATIONAL UNION FOR CONSERVATION OF NATURE
Meeting of the Finance and Audit Committee
29 April 2018

Resource Mobilization Update

Origin: Director General/ Director, Global Strategic Partnerships

Action requested:

The Finance and Audit Committee is requested to TAKE NOTE of the update on Resource Mobilization.

Issues and Considerations

This document provides an update on the Secretariat's resource mobilization activities in 2017, with an update on the period between November 2017 and April 2018.

IUCN's project portfolio is generally strong – with a 24% growth in the portfolio value from the time of preparation of the 2017 budget (CHF294m) to the time of preparation of the 2018 budget (CHF366.7m) and reached a record high of CHF390m during the first quarter of 2018. As has been reported regularly to FAC since 2012, core funding remains on the projected downward slope in view of increasing donor reluctance to provide unallocated resources from their bilateral aid budgets. IUCN is addressing this challenge by continued discussions with a number of governments, through exploring and boosting restricted framework resources, and through increasing projectized support as well as by exploring new ways to mobilize unrestricted funds.

In 2017, much effort was put into renegotiating multi-year agreements with IUCN's Framework Partners and IUCN is pleased to report that with the exception of Norway (negotiations underway) all multi-year Framework Agreements have been renewed until 2020. Core income from Framework Partners was above budget for 2017 due to a significant increase in Sweden's contribution but decreased over 2016 due to the non-renewal by Denmark as well as the late signing of the core agreement with France (May 2018).

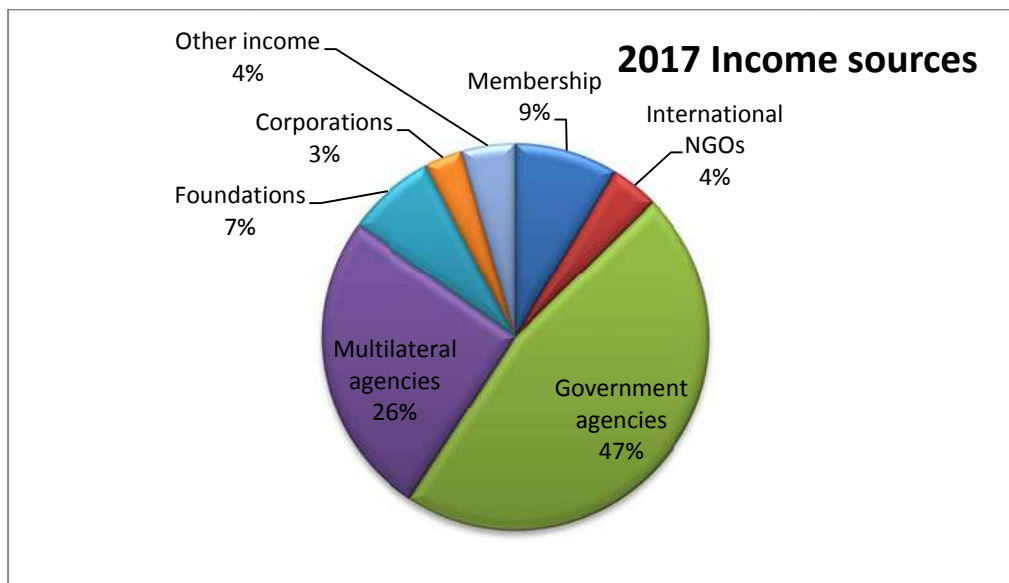
Good progress continues on engagements with high net worth individuals through the Patrons for Nature initiative which now brings in new and steady core income.

Continued efforts are being made to secure International Organization status with the European Commission alongside discussions with other donors to recognize IUCN as an intergovernmental organisation. Recognition as an IO by IUCN's donors is critical for unlocking larger levels of support from donors' multilateral budgets. A key element to reach this point is the Director General's approval of a new Internal Control Policy (policy approved in April 2018), and the Council's approval of the new Enterprise Risk Management Policy (May 2018). IUCN next needs to be able to demonstrate that these policies are mainstreamed in IUCN's operations, subsequent to which IUCN can reapply for a new Pillar Assessment. IUCN aims to apply for this reassessment in the second half of 2018.

IUCN's 2017 income sources (Table 1) remained similar to previous years with the bulk of its funding coming from official development assistance (ODA). Income from ODA (Government and multilateral agencies) grew from 65% in 2016 to 73% in 2017 – reflecting an increased commitment and trust by donors to channel official development funds through IUCN – as well as a shift from retail to wholesale. IUCN's differentiated donor base includes a total 153 unique donors/contributors (active in 2018). With

respect to funding from membership dues, these represented 9% of total income, while income from foundations and the private sector remained stable.

Table 1 – Income sources 2017 (cash received)



Core Funding

Framework Agreements

As highlighted in FAC updates since 2012, the decline in unallocated framework funding is a broad trend in bilateral donor circles. A significantly greater emphasis on quantifiable results and value for money assessments (comparing returns to poverty reduction; health outcomes; gender empowerment, etc. in resource allocation) dominate parliamentary appropriation conditions and thus also bilateral aid policies across the bilateral donor spectrum. Accordingly, IUCN along with most multilateral and international organization has seen a considerable decline in core funding in recent years– coupled with a trend to move towards soft earmarking.

Agreements were renewed with **Sweden** (+30%), **Switzerland** (-25%) and **Korea** (same level). The umbrella framework agreement was signed with **France** during 2017, and the detailed agreement with AFD which provides the largest French portion of the unrestricted income is expected signed by mid-2018. The income will be recognised in 2018. In-kind income (staff) was recognised in 2017 which represented CHF0.5m.

Discussions are underway with **Norway** for the renewal of the Framework Agreement. It is to be recalled that the Framework Agreement expired end-2016 and that Norway signed a one-year agreement for 2017 so as to allow for Norway to undertake a review of the Norway-IUCN collaboration. Following the Organisational Review performed by Norad during 2017, a decision to move IUCN within Norad budget lines has now been confirmed and negotiations are underway for a new agreement to cover the period 2018-2020. High level meetings are planned in Oslo for the Director General in May 2018.

A four-year Framework Agreement was signed in January 2018 with **Finland** during the Director General's visit to celebrate Finland's 50th Anniversary as a State Member and IUCN's 70th Anniversary.

2017 funding from the **US State Department** was secured in September. It is to be recalled that the US renews its funding on an annual basis and funding beyond 2017 remains unclear. IUCN is in close contact with colleagues from the State Department and has engaged with Congress in an attempt to ensure continued support through the appropriations accounts that fund the US' membership dues and annual voluntary contribution.

Strategic engagement with IUCN's Framework Partners is critical as they continue to provide significant levels of project funding in addition to core (Sweden, USA and Switzerland are amongst IUCN's top 10 donors). Table 2 below shows forecast framework income for 2017-2020.

Table 2 - Framework Income 2017-2020 (projected) – CHF (m)

Framework Partner	2017	2018	2019	2020
Finland (2017-2020)	0.4	0.4	0.4	0.4
France (2017-2020)	0.5	1.3	1.3	1.3
Korea (2017-2020)	0.5	0.5	0.5	0.5
Norway (2017)	2.5	2.6	2.6	2.6
Sweden (2017-2020)	4.6	4.4	4.4	4.4
Switzerland (2017 + 2018-2020)	2.2	1.5	1.5	1.5
USA (renewed annually in October)	0.6	0.6	0.6	0.6
Mava Foundation (2017)	1.0	0	0	0
Total Framework Income	12.3	11.3	11.3	11.3

USA income excludes contributions normally received for TRAFFIC

Discussions continue with **Abu Dhabi (UAE)** on resuming a framework partnership. A high level visit is planned for the Director General in the second half of 2018.

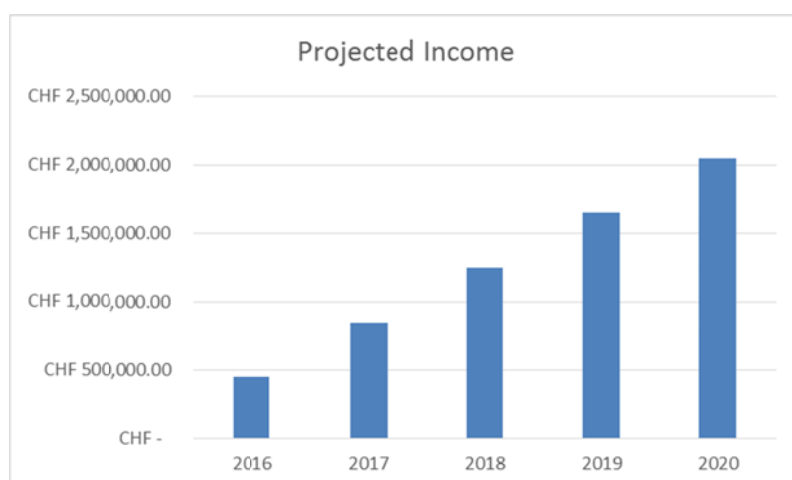
Discussions on support from Canada are ongoing. The DG travelled to Canada in September 2017 seeking renewal of framework funding. Subsequently the DG met with President Trudeau in January during the World Economic Forum and IUCN has been providing input into Canada's G7 Presidency on issues related to biodiversity conservation and oceans/plastics.

Patrons of Nature

The Patrons of Nature initiative has seen a surge in membership and interest. The initiative shows considerable potential, with a projected unrestricted income of CHF2m per year by the end of 2020 – with an expected income of CHF1.2m in 2018 (Table 3). A number of 70th celebratory events are being organized in collaboration with Patrons throughout the year.

The recent growth in philanthropy in China has led to great interest in Patrons of Nature with two new Chinese Patrons recruited at the end of 2017. With the potential growth in Patrons of Nature from China, IUCN may explore the establishment of a Chinese chapter of the initiative. An engagement strategy with Chinese philanthropists is underway to leverage additional support for large scale projects and programmes both in China and globally.

Table 3 – Patrons Projected Income



Other core income

Online donations – remain small and regular with a potential to grow. IUCN is exploring how best to grow this income stream through targeted campaigns and marketing.

With its large and strong base of supporters (e.g. Commission Members and a growing base of individual donors) a **Bequest Programme** will be implemented from 2018 onwards. Bequest Acceptance Guidelines have been developed internally. The opportunity to make a bequest will be actively promoted on IUCN's website and newsletters. Furthermore, IUCN will explore marketing and communication opportunities in Switzerland, UK and USA – where IUCN has tax deductible legal status. Gifts through bequests will be focused primarily on increasing unrestricted income.

An Event Sponsorship Coordinator is currently under recruitment to help mobilize core resources for the **2020 World Conservation Congress**. As with past Congresses, the position will focus on mobilizing funds from the private sector, as well as reaching out to foundations, bilateral and multilateral donors.

Project and Programme Funding

In 2018, the **European Commission** remains IUCN's largest donor with an overall portfolio value of CHF99m, followed by **Germany** (KfW and BMUB) with a combined portfolio of CHF74m (Table 4).

Table 4 - TOP 10 DONORS – BY PROJECT PORTFOLIO

Donor	Value of active portfolio (CHF m)
1. European Commission	99.3
2. Federal Ministry of the Environment, Nature Conservation and Nuclear Safety – BMUB, Germany	40.8
3. Kreditanstalt für Wiederaufbau – KfW, Germany	33.8
4. Swedish International Development Cooperation Agency (Sida)	31.2
5. US Agency for International Development (USAID)	19
6. Global Environment Facility	17.2
7. MAVA Fondation pour la Protection de la Nature	13.8

8. Swiss Agency for Development and Cooperation	13.6
9. Ministry of Foreign Affairs, The Netherlands	12.8
10. Ministry of Foreign Affairs, Italy	5.9

Bilateral funding

Bilateral and multilateral donors (including Framework Partners) continue to provide the bulk of IUCN's project support (restricted funds). In 2017, a number of large projects were signed, including the largest ever grant signed by IUCN with the European Commission for a total of CHF47m, while other large grants were signed with USAID, Germany (KfW and BMUB), Sweden and the GEF.

At the start of 2018 - the total value of IUCN's portfolio stood at CHF390m. New projects approved between January and April 2018 totalled CHF20m.

The **USA** remains one of IUCN's largest donors. A new contract with USAID for CHF14m was signed towards the end of 2017 and new agreements are under negotiation (USAID and USFWS). IUCN will continue to engage with Congress to support sufficient funding for the accounts that fund USAID, the State Department, and the international work of the U.S. Forest Service, National Park Service, and U.S. Fish and Wildlife Service – to seek continued funding for biodiversity conservation at large and IUCN more specifically.

Strategic engagement with the German Development Bank (**KfW**) through the implementation of a joint MoU has resulted in increased support and a considerable pipeline forecast over the next two to three years focusing on protected areas effectiveness, coastal and marine protection, forest landscape restoration and private sector approaches and innovative financing mechanisms. Negotiations are ongoing for new large global and regional initiatives. German's International Climate Initiative implemented through **Federal Ministry of the Environment, Nature Conservation and Nuclear Safety (BMUB)** remains a significant donor to IUCN's work on climate change and biodiversity conservation with an overall portfolio value of CHF40m.

IUCN continues to receive significant project support from **Denmark, Italy, The Netherlands, the United Kingdom** while **Austria, Australia, Japan and Luxemburg** provide project support on a smaller scale.

Multilateral funding

Funding from multilateral institutions represented 26% of IUCN's total income in 2017 and is set to rise further through increased engagement with the Global Environment Facility (GEF) and the Green Climate Fund (GCF).

In 2017, the largest sources of multilateral income were provided by the European Commission (EC), the GEF, the World Bank, UNEP, UNFCCC, FAO, UNESCO, CITES and the GCF.

European Union/Commission - IUCN's engagement with and support from the EC reached a record high in 2017 due to the signing of some large agreements (Biodiversity and Protected Areas Management Programme (BIOPAMA), Biodiversity and Ecosystem Services in Territories of European Overseas (BEST) and Save our Species Initiative - SOS).

IUCN continues to engage at the highest level within the European Union/EC and is seen as a key implementing partner for its global expertise on biodiversity conservation, nature based solutions and sustainable development. The EC relies on IUCN as an implementer of the EU programmes as well as for input and guidance at policy level both globally and on internal EU matters. IUCN's recent nomination as an observer to the EU High-level Multi-stakeholder Platform on the implementation of the Sustainable Development Goals (SDGs) and is a testimony to this collaboration.

It remains crucial to collaborate with European Institutions to ensure conservation matters are kept a priority in the EU's programming and corresponding budgets. In 2018 the EU will be defining how to implement the 2030 Agenda for Sustainable Development, a process that goes hand-in-hand with the new architecture and priority areas in the EU's Multiannual Financial Program after 2020.

The Global Environment Facility (GEF) and the Green Climate Fund (GCF) - Since accreditation as a **GEF Project Agency** in mid-2014, IUCN has secured four GEF-funded projects worth USD 12.4m in grants (leveraging USD 33.2m in co-funding), with a forecast expected to reach 11 projects (USD 38m in grants) by December 2018 (Table 5). By the end of 2019, the portfolio of projects mobilized from GEF-6 could include a total of 19 projects (USD 67m in grants), complemented by one project from GEF-5 (USD 6.3m) and one project from the Least Developed Country Fund (USD 4.4m). Overall, this portfolio should leverage approximately USD 300m in co-financing.

Most notable in the portfolio is "*The Restoration Initiative*" on forest landscape restoration, which amounts to USD 55m (over USD 200m in co-funding), undertaken in cooperation with FAO and UNEP. Global projects of strategic importance under implementation include "*Land Degradation Neutrality Target Setting*" in cooperation with the UNCCD and "*The Global Environmental Commons - Solutions for a Crowded Planet*".

Since accreditation in early 2016, IUCN has submitted one **GCF** project for improved watershed management in Guatemala (USD 25m in grants). The development of the GCF portfolio has been slower than anticipated but is expected to pick up in 2018 with efforts geared toward submitting three additional projects for approval by the GCF Board on mangroves, forests, watershed, and drylands management in South-East Asia, Nepal and Kenya.

Table 5 - IUCN GEF Portfolio

Country or Regional Focus	Project Title	Project Status	GEF Project Grant (USD)
Global	The Global Environment Commons - Solutions for a crowded planet	Proposal Approved	2,000,000
Nepal	Strengthening Capacities for Implementation of the Nagoya Protocol in Nepal	Proposal Approved	1,376,147
Global	Land Degradation Neutrality Target Setting	Proposal Approved	2,752,294
Regional	Mano River Union Ecosystem Conservation IWRM project	Proposal Approved	6,336,364
		Subtotal	12,464,805
Regional	Sustainable Management of Peatland Ecosystems in Mekong Countries	Concept Approved	2,857,064
Guinea - Bissau	Managing mangroves and production landscapes for climate change mitigation	Concept Approved	3,298,305
China	TRI_Building Climate Resilient Green Infrastructure: enhancing ecosystem services of planted forests in China through forest landscape restoration and governance innovation	Concept Approved	7,200,000
Myanmar	TRI_Reversing Myanmar's forest degradation and deforestation and restoring forest landscapes through local multi-stakeholder co-management	Concept Approved	2,652,294

Cameroon	TRI_Bamboo for Africa: helping communities access renewable energy, address land degradation and mitigate and adapt to the effects of Climate Change	Concept Approved	1,326,147
Global	TRI_Global finance, learning and knowledge Coordination	Concept Approved	3,519,725
Chad	Restoring ecological corridors in Western Chad to mitigate climate change RECONNECT	Concept Approved	5,329,452
Mauritania	Continental wetlands adaptation and resilience to climate change	Concept Approved	4,449,542
Regional	Pungwe transboundary river basin management (Mozambique, Zimbabwe)	Concept Approved	6,000,000
Global	Fostering Partnerships to Build Coherence and Support for Forest Landscape Restoration CPF	Concept Approved	625,000
Regional	Réserve de biosphère transfrontalière du Delta du Sénégal (Mauritania, Sénégal)	Concept Approved	3,061,009
Vanuatu	Expanding Conservation Areas Reach and Effectiveness (ECARE)	Concept Approved	2,450,459
Solomon Islands	Building a sustainable, resilient ecosystems and representative protected and managed area network in the Solomon Islands by protecting remaining unmodified natural areas and restoring degraded habitat	Concept Approved	4,918,364
Global	CPIC - Conservation Finance Initiative-Scaling-up and demonstrating the value of blended finance conservation	Concept Approved	8,250,000
		Subtotal	55,937,361
Regional	Volta Basin IWRM (co-implemented with UNEP)	Concept in preparation	3,562,477
Global	Save Our Species (SOS)	Concept in preparation	2,000,000
		Subtotal	5,562,477

During the reporting period, **the World Bank** group approved a new agreement to support the West African Coastal Areas Management Programme (WACA) for a total of US\$8.7m. This is part of a larger financial package which includes a credit of \$120 million and a grant of \$70 million from the International Development Association and a grant of \$20.25 million from the Global Environment Facility. IUCN will host and manage the Regional Support Unit.

Engagement with Foundations

In 2017, income from foundations represented 8% of IUCN's total income and the MAVA Foundation remains the largest donor (CHF5m in 2017). IUCN continues to have excellent relations with a number of foundations in Europe, the USA and Asia. Ongoing support for medium size projects was received from Arcus Foundation, Aage V. Jensen Charity Foundation, Prince Albert II Foundation, Segré Foundation, Argidius Foundation, Fundación Gonzalo Río Arronte, Swedish Postcode Lottery, Ford Foundation and the Keidanren Conservation Fund.

The MacArthur Foundation – which has supported IUCN's biodiversity conservation work over the years, recently ended its conservation portfolio and will now focus exclusively on energy for climate change mitigation in India and China. Support was also received from the Gordon and Betty Moore Foundation, which has expressed interest in becoming an IUCN Member, and the Rockefeller Foundation, which is involved in an innovative blended public-private-philanthropic conservation funding facility with GEF funding.

Following an important pledge by a Geneva based foundation to SOS in 2017, IUCN was able to secure an additional contribution of US\$4mio in March 2018 through a private foundation based in Hong Kong.

Noteworthy is IUCN's recent engagement with two Chinese Foundations - the Lau Niu Foundation, and the Beijing Qiaonyu Foundation - whose founders are IUCN Patrons of Nature - with which IUCN is engaged for possible support to IUCN's work in Asia and globally.

Funding from Corporates

IUCN's engagement with business remains stable but small, representing 3% of IUCN's income in 2017 and focuses primarily on changing business practices.

In 2018, key business engagements are underway with Black Mountain Mining, Enel, Nespresso, Renova Foundation, Rio Tinto, Sakhalin Energy and Shell. Other engagements under development include a collaborative agreement with Rio Tinto's QIT Madagascar Minerals operation to oversee an Advisory Committee in Madagascar, an agreement with Newmont Mining Company to pilot a biodiversity net gain approach and a new project with Shell Petroleum Development Company Ltd of Nigeria to follow-up on the IUCN Niger Delta Panel's earlier recommendations.

Outreach to business in the regions is also growing, for example, through IUCN Pakistan and Port Qasim Authority's new Business and Biodiversity Platform, IUCN India's Leaders for Nature Programme and IUCN Brazil's Cerrado Consortium, encompassing a broad range of stakeholders from the coffee sector. In addition, under the IUCN - France partnership framework agreement with AFD, IUCN is strengthening business engagement with Members and other civil society organizations, leveraging on existing initiatives, such as Shared Resources, Joint Solutions and SUSTAIN-Africa both funded by the government of the Netherlands.

New business guidelines for companies operating in key biodiversity areas (KBAs) will be launched in early 2018 by the KBA Partnership, and through an agreement with the International Olympic Committee, a series of reports on sport and biodiversity aimed at developers, investors, event organisers will be issued throughout the year.

Beyond programmatic engagement for transformation, the sponsorship agreement signed between IUCN and Toyota continues to provide significant financial support for the Red List.

In February 2018, IUCN signed a new three-year partnership agreement with **Lacoste**, a French clothing company created in 1933. The agreement provides annual financial support to SOS to the tune of US\$83,000 per year over three years, and importantly also provides access to international media and marketing outreach beyond IUCN's usual audiences through annual campaigns. The campaign was launched during the Paris Fashion week with a limited collection of polo shirts (1775) featuring logos of ten critically endangered species, temporarily replacing Lacoste's iconic crocodile. The polo-shirts sold out within 36 hours of the online launch. The campaign resulted in a social media storm with hundreds of thousands of video views, thousands of tweets/Facebook posts/Linked-in posts/Instagram posts, post-sharing and thousands of comments, all helping reach new audiences in USA, France and Germany mainly but also other countries. The earned visibility and publicity for Lacoste and IUCN has been estimated to be worth several US\$ million equivalent in paid media (source: Argus Media Monitoring).

This new and innovative way of generating funds and significantly increasing visibility for IUCN has generated some very positive feedback and should be reviewed in depth to explore further opportunities.

Conclusion

The IUCN Secretariat (both at HQ and in the regions) continues to work intensively and has been successful in mobilizing funds for the implementation of the 2017-2020 Programme. The Secretariat is also strengthening efforts to diversify its income base. Making the case for core funding remains a challenge as donors constantly review their priorities and expectations. Despite this, IUCN has been successful in renewing its Framework Agreements for the period 2017-2020 which continues to be critical for IUCN's operations in the medium term.



Global Information Systems Update

Finance and Audit Committee – FAC64/13

30 April 2018

Francois Jolles



ERP Update

2017 Achievements	2018 Plan
Financial Core	
<ul style="list-style-type: none"> Addressed audit recommendations (role approval workflow) 	<ul style="list-style-type: none"> Engage in the upgrade of the current ERP system before July 2018, and complete before July 2019 Keep supporting all major Finance activities Improve integration between NAV and HRMS Implementation of controls and automation processes to comply with GDPR
Host-to-Host Electronic Banking	
<ul style="list-style-type: none"> Live in 2 locations in Asia (with SCB), started in HQ (with UBS) 	<ul style="list-style-type: none"> UBS and Ecobank interfaces to be activated (2Q18) Support the go-live to new offices (9 planned)
Global Reporting/Datawarehouse	
<ul style="list-style-type: none"> Automation of month-end reports Continuous improvements of reports and reporting processes 	<ul style="list-style-type: none"> Upgrade to new version of Jet Reports for better self-service capabilities
Electronic Approvals	
<ul style="list-style-type: none"> 32 locations now live 	<ul style="list-style-type: none"> Complete deployment (1 outstanding location)
Programme and Project Portal	
<ul style="list-style-type: none"> Final requirements and design for Release 1 completed 	<ul style="list-style-type: none"> Build of Release 1 started in April. Go-live planned for Sept 2018. Support the change management, address gaps and opportunities



ERP Update

2017 Achievements	2018 Plan
Timesheet Management	
<ul style="list-style-type: none">• Requirements completed• Procurement in progress	<ul style="list-style-type: none">• Support go-live for HQ (3Q18) and later in Regions (4Q18)• Start working on Phase II to support Resource Management
Procurement Management	
<ul style="list-style-type: none">• Improvements defined and developed. Currently in testing phase	<ul style="list-style-type: none">• Support go-live (2Q18) and plan further improvements
Travel and Expense Management	
<ul style="list-style-type: none">• Improvements defined and developed. Currently in testing phase	<ul style="list-style-type: none">• Support go-live (2Q18) and plan further improvements
Risk Management System	
<ul style="list-style-type: none">• System selected installed and pilot in progress	<ul style="list-style-type: none">• Support the roll-out of the production system



Union Application Update

2017 Achievements	2018 Plan
Commission Management	
<ul style="list-style-type: none"> Automation of applications data processing Requirements gathering for a centralized Commission management system 	<ul style="list-style-type: none"> Development of a centralized Commission management system Implementation of controls and automation processes to comply with GDPR
Union Portal	
<ul style="list-style-type: none"> Implementation of tools improve user experience (speed and search results) Update of tutorials Development of usage reporting tools 	<ul style="list-style-type: none"> Improvements to better suit Commission needs Enhance account management tools Implementation of controls and automation processes to comply with GDPR
HRMS	
<ul style="list-style-type: none"> Various improvements incl. job families, integration with work planning/appraisal system, interactive dashboards tools External audit controls implementation 	<ul style="list-style-type: none"> Implementation of controls and automation processes to comply with GDPR Active Directory integration changes to support automation of distribution lists
Corporate Web Site (www.iucn.org)	
<ul style="list-style-type: none"> Transfer of technical ownership from Communications to IS 	<ul style="list-style-type: none"> Identification and engagement of a new technical provider



Union Application Update

2017 Achievements	2018 Plan
Electronic Voting	
<ul style="list-style-type: none"> • Electronic vote by IUCN Members (IFAW vote) 	<ul style="list-style-type: none"> • Support for new e-voting requests
CRM	
<ul style="list-style-type: none"> • Prepare for upgrade 	<ul style="list-style-type: none"> • Upgrade / Migration • Implementation of controls and automation processes to comply with GDPR
Geographical Information System	
<ul style="list-style-type: none"> • New global contract signed with ESRI • Migration of ESRI users to HQ licensing server in HQ • ESRI license request process implemented in Service Portal 	<ul style="list-style-type: none"> • Define an Open Source alternative to ESRI for low cost requirements
Corporate Web Site (www.iucn.org)	
<ul style="list-style-type: none"> • Transfer of technical ownership from Communications to IS 	<ul style="list-style-type: none"> • Identification and engagement of a new technical provider



Technology & Service Delivery Update

2017 Achievements	2018 Plan
Global Wide Area Network (GWAN) & Common Infrastructure Components	
<ul style="list-style-type: none"> Completed at HQ and all regional and outposted offices (15 locations) All documentation and guidelines completed All 15 locations tested for Disaster Recovery All GWAN offices verified to be up-to-date on security patches 	<ul style="list-style-type: none"> Maintain all current GWAN offices to stay up-to-date (security and compliance) Renew the contract with global network provider by end 2018 Develop a solution for small locations, pilot in 2018, implementation in 2019
Common Standard End-User Computer	
<ul style="list-style-type: none"> Completed at all GWAN locations Patches implemented monthly to 695 computers 695 computers under security control globally Global PC retailer, new cloud-based ordering direct from Dell implemented 	<ul style="list-style-type: none"> Develop a solution for managing computers in small locations Renew the licensing contract with Microsoft Prepare for upgrade to Windows 10 and Office 365, pilot and first deployment Implementation of controls and automation processes to comply with GDPR
Service Management Tool	
<ul style="list-style-type: none"> Deployed at all Secretariat locations Workflow for corporate web site now in place 	<ul style="list-style-type: none"> Upgrade to new version Implement the various workflows required for GDPR compliance
Data Center	
<ul style="list-style-type: none"> Hosting of WWF International servers completed. Ensured complete logical separation. Upgrade of base servers completed (Operating System, Database, Archiving) 	<ul style="list-style-type: none"> Upgrade email system (enable Calendar & Meeting management, better email Management rules)



Organizational Update

2017 Achievements	2018 Plan
Organization	
<ul style="list-style-type: none"> Globalization of IS resources as part of Matrix composition of Corporate Units 	<ul style="list-style-type: none"> Globalization of IS resources as part of Matrix composition of Corporate Units
Policies	
<ul style="list-style-type: none"> Policies developed (eMail, User Account, Mobile, Usage of IS Resources) Enforcement aligned with GWAN deployment 	<ul style="list-style-type: none"> Policies development continued <ul style="list-style-type: none"> IS Security (Logical and Physical) IS Data Privacy (aligned with GDPR) External Hosting of IUCN Data
Security	
<ul style="list-style-type: none"> New IS Security Officer hired Global firewall implementation, common set of rules and management (GWAN locations) Remote office Disaster Recovery tests completed for pilot GWAN site 	<ul style="list-style-type: none"> Upgrade of all our anti-virus systems, aligned with the systems' upgrades Implement intrusion log monitoring for GDPR compliance
Compliance	
<ul style="list-style-type: none"> Global Data Privacy Regulations (GDPR) <ul style="list-style-type: none"> Inventoried all data collection within Global IS Changes to existing systems identified. Mitigation/Changes being developed External Audit <ul style="list-style-type: none"> User Account Password Policy fully implemented Incident tracking system fully implemented Auditable workflows implemented to track employee role status 	<ul style="list-style-type: none"> GDPR full implementation <ul style="list-style-type: none"> Ensure processes in place for staying compliance External Audit <ul style="list-style-type: none"> Fix all points identified in the 2017 audit report



2018 Plans

- Priorities
 1. Support existing systems “keep the lights on”
 2. Upgrade all systems going out of suppliers’ support plans
 3. Deploy new systems/add functionalities as per business requirements (IS Steering Committee)
- 2018 is the “Year of the Updates”





94th Meeting of the IUCN Council, Gland (Switzerland), 29 April – 2 May 2018

13th meeting of the Governance and Constituency Committee

Agenda Item GCC13/1.2

Update on the implementation of Resolution [WCC-2016-Res-003](#) – Including regional governments in the structure of the Union

DOCUMENT FOR REVIEW BY THE PRE-WORKING GROUP MEETING ON 29 APRIL 2018
BEFORE BEING SUBMITTED TO THE GCC

Origin: Pre-Working Group on Resolution WCC-2016-Res-003

REQUIRED ACTION

The Governance and Constituency Committee of the Council is invited to consider the proposed Terms of Reference for the Working Group referred to in WCC-2016-Res-003 as well as a process to appoint the members of the Working Group, revised as the case may be by the Pre-Working Group.

Background

1. At its 92nd meeting in February 2017, the Council asked the Governance and Constituency Committee (GCC), as part of its Terms of Reference (TOR), to lead on the implementation of WCC-2016-Res-003.
2. This led the GCC to form a Pre-working Group guided by Jenny Gruenberger.
3. In November 2017, the GCC asked Hilde Eggermont to chair the group and to lead it in the development of TOR for the establishment of the Working Group referred to in WCC-2016-Res-003.
4. By email of 29 March 2018, the Chair of GCC presented the draft TOR prepared by the Pre-working Group to the GCC for their consideration, comment and endorsement by 6 April 2018 on the understanding that, once endorsed, the GCC would request the Secretariat to issue a call to IUCN Members for nominations by 27 April.
5. In light of the low response rate to the Chair's message, the Chair and Deputy Chair of GCC proposed to the Chair of the Pre-working Group, who agreed, that the Pre-working group report back to the GCC at its meeting in Gland of 29-30 April 2018 after which the GCC would, in turn, take it to Council for finalisation.

Required Action

6. The GCC is invited to consider the draft TOR for the Working Group referred to in WCC-2016-Res-003 (attached hereafter as **Annex 1**) and to make a recommendation to Council to:
 - a. approve the TOR;

- b. request the Secretariat to issue the call for nominations to all IUCN Members. The draft message prepared by the Pre-working Group for this purpose is attached for information. (**Annex 2**)
7. Subject to Council approval of the TOR, the following actions are required to complete the membership of the Working Group referred to in WCC-2016-Res-003:
 - 7.1 Councillors will be invited to come forward with expressions of interest;
 - 7.2 IUCN's World Commission on Environmental Law (WCEL) will be invited to designate one legal expert;
 - 7.3 the Chairs of the other IUCN Commissions will be invited to designate one expert from one of the Commissions;
 - 7.4 the Director General will be invited to designate two support persons from the IUCN Secretariat.
 8. During its meeting in Gland on 29 April 2018, the Pre-working Group will review the Terms of Reference and modify them, as required, and discuss the next steps which may include a recommendation to the GCC for Council to request the Bureau to appoint the members of the Working Group referred to in WCC-2016-Res-003 by end of June 2018 on the recommendation of the GCC taking into account the nominations received.



IUCN Council

Work Group on

[WCC-2016-Res-003 - Including regional governments in the structure of the Union](#)

Draft Terms of Reference 2017-2020

Version 3 – 06 March 2018

Background

1. The issue of local government membership was considered at the 18th Session of the General Assembly in Perth, Australia 1990; and at the First Session of the World Conservation Congress in Montreal, Canada 1996. On both occasions, proposals for amendments of the Statutes to allow local and regional governments to become Members were soundly rejected by the IUCN membership.

2. In 2002, Council Decision C/57/26 requested the Governance Task Force to further review the possibility of including local or subnational government organizations as Members of IUCN. In 2004, Council on the recommendation of the Membership Committee and based on legal advice noted that environmental agencies of local government bodies were eligible for admission under membership Category A (a) - Government Agencies, and decided not to propose a statutory change concerning local government membership at this time (decision C/60/47).

3. In 2008, the World Conservation Congress [Resolution 4.008](#) requested Council to seek legal and technical advice on how local and regional authorities might be included in the structure of the Union and to make recommendations to the 5th Session of the World Conservation Congress for reform of the IUCN Statutes, as appropriate. After a period of consultations (2009-2010) and given the diversity of views represented, Council undertook an additional round of consultation with the IUCN membership during the Regional Conservation Fora (May to October 2011) where all IUCN Members were invited to discuss three options for including local government membership. After this consultation and further deliberation, [Council decided to submit two options for the consideration of the 2012 World Conservation Congress](#) in Jeju. Both options failed to obtain the required 2/3 majority¹. The World Conservation Congress rejected both the clarification of the status quo (option 2) and the proposed change (option 1). The IUCN Council 2012-16 subsequently considered it justified to continue to study this issue including whether to make recommendations to the next Congress.

4. In 2015, Council, upon recommendation of the Governance and Constituency Committee (GCC) and Council document C/85/5.3.1.2.1.3, agreed to consult the IUCN membership online and during all the Regional Conservation Fora held in 2015 on the two options for including LRGA in the structure of IUCN which failed to achieve the required 2/3 majority during the 2012 Congress. In 2016, [a motion submitted to the 2016 WCC by five Government Agency Members](#), to amend the Statutes to include local and regional government authorities in the structure of the Union led to the cessation of any further consideration of this topic by Council. The motion in its original version, which proposed to amend the Statutes creating a new sub-Category in Category A called “local or regional governmental authorities” exercising collectively one vote, was [amended by the contact group](#) to apply only to regional governments which together with Government Agency Members of the State concerned would constitute a sub-Category in Category A and would together exercise one vote. This motion was voted

¹ Voting result for option 1: 65.81% for versus 34.19% against in Cat. A and 68.29% for versus 31.71% against in Cat. B. Option 2: 65.66% for versus 34.34% in Cat. A and 74.16% versus 25.84% in Cat. B.

down by both Categories A and B and by a greater number of Members than at the previous Congress². Instead, Congress approved WCC-2016-Res-003³:

WCC-2016-Res-003: Including regional governments in the structure of the Union

The World Conservation Congress, at its session in Hawai'i, United States of America, 1-10 September 2016: REQUESTS the IUCN Council to establish a Working Group composed of Councillors and Members on the role and membership of local and regional governments in IUCN, including the wider engagement among IUCN members and other Parties in order to analyze the need and effects, develop a clear definition of regional government, and formulate a comprehensive and well considered new recommendation for the next Congress.

5. At its meeting in February 2017, the IUCN Council adopted a series of measures to implement the resolutions adopted by WCC-2016 and requested its Governance and Constituency Committee to take the lead on resolution WCC-2016-Res-003. In this way, the pre-Working Group on including regional governments in the structure of the Union was created during the meeting, whose members⁴ developed the present ToR and guidance for the work of the Working Group required by WCC-2016-Res-003.

Objective

6. The objective of the Working Group is to through an inclusive engagement process formulate a comprehensive and well considered recommendation for the next Congress on the definition and possible inclusion of local and regional governments in the structure of the Union. The recommendation should be based on a thorough analysis of the needs and effects of inclusion while taking into consideration all previous work that has been done in this regard in IUCN and in accordance with the request provided by the Members' Assembly in WCC-2016-Res-003.

Functions

7. Establish and implement a Work Plan for:
- a. Developing a clear definition of regional and local governments in the context of Resolution 003, considering the diversity of governance structures globally.
 - b. Analyze the needs and effects of the inclusion of local and regional governments for IUCN, at a broad level including for the effectiveness of IUCN mandate, finance, governance and programme delivery.
 - c. Identify and elaborate the best option(s) for possible inclusion of local and regional governments into the structure of the Union while taking into consideration the previous debates/ discussions and good approaches from within the Union.
 - d. Analyze the effects of the different options of the possible inclusion of local and regional governments on IUCN.
 - e. Formulate a comprehensive and well considered new recommendation for Council approval.

Modus Operandi

8. Following the sequence of steps detailed in the "Functions" section, Working Group members will primarily implement their work through e-mail and conference calls.

² Voting result: 34.56% for versus 65.44% against in Cat. A and 38.73% for versus 61.27% against in Cat. B.

³ Voting result: 83.47% for versus 16.53% against in Cat. A and 84.53% for versus 15.47% against in Cat. B.

⁴ Norbert Baerlocher, Jesca Osuna Eriyo, Mangal Man Shakya, Shaikha Salem Al Dhaheri, Hilde Eggermont, Tamar Pataridze, Jan Olov Westerberg and Jenny Gruenberger, with support from the IUCN Secretariat.

9. The Working Group will be assisted by the Global Director of the Union Development Group, as requested, who will provide administrative and technical support within the available budget.
10. Once the Working Group has agreed on the options and these are approved by Council, the Working Group will decide on the process to be used in order to reach consensus, building on previous good practices (e.g. consultation with the membership at Regional Conservation Fora).
11. Feedback received from the Members will be consolidated by the Working Group and reported back to Council for endorsement.
12. The Working Group will report on its progress to the GCC every six months (including at each meeting of the Council) and deliver a final recommendation to Council in time for its presentation and consideration at the 2020 Congress taking into account statutory deadlines for Congress documents and/or proposals to amend the Statutes, as the case may be.

Composition

13. The Working Group should not exceed 20 members, and be composed of:
 - a. Up to five Council members (incl. the Working Group Chair), with proper understanding of the variety of States;
 - b. One legal expert from WCEL; and one expert from another Commission;
 - c. Up to five State members across the different Statutory Regions;
 - d. Up to three representatives of existing local and regional government agency Members of IUCN;
 - e. Up to three other interested parties associated with IUCN with relevant knowledge and experience in the role of local and regional governments in conservation of nature.
 - f. Two support persons from the IUCN Secretariat who will be ex-officio members of the WG ;
14. The Working Group should include a wide spectrum of opinions and include individuals with technical knowledge on this issue.

Duration

15. The Working Group will be in force until it delivers a final recommendation to Council in time for its presentation and consideration at the 2020 Congress.

Draft message

To: All IUCN Members
Subject: Call for nominations for the Working Group referred to in Resolution WCC-2016-Res-003 "Including regional governments in the structure of the Union"

Dear IUCN Members,

On behalf of the IUCN Council Governance and Constituency Committee, IUCN Members¹ are invited to nominate individuals for membership of the Working Group to be established by the IUCN Council as requested by Resolution WCC-2016-Res-003² adopted by the 2016 IUCN World Conservation Congress held in Hawai'i.

In accordance with the Terms of Reference for the Working Group approved by the Council at its 94th meeting (May 2018) (copy attached), IUCN Members are invited to nominate individuals from one or more of the following categories:

- a. Up to five State members across the different Statutory regions;
- b. Up to three existing local and regional government agency Members of IUCN;
- c. Up to three other interested parties associated with IUCN with relevant knowledge and experience in the role of local and regional governments in conservation of nature.

Nominated individuals should be:

- willing to contribute to the Working Group's task of developing and implementing a process to prepare a comprehensive and well considered new recommendation for the 2020 IUCN Congress as set out in the Resolution;
- knowledgeable about IUCN and the role of local and regional governments in conservation of nature and the implications of this for IUCN;
- available from mid-2018 through to the end of 2019 to contribute in a meaningful way to the Working Group which will carry out its work mainly through electronic communication (email and conference calls).

In order to ensure that the Working Group covers the wide spectrum of opinions on the question of the possible inclusion of local and regional governments in IUCN, nominations should be submitted together with a short motivation letter (maximum 250 words).

Nominations together with the motivation letter should be submitted by **9 June 2018** at the following email address: nominations003@iucn.org

With warm regards,

Membership Coordination Unit

¹ IUCN Members in Categories A, B and C, which have paid their membership dues up to and including 2017 in full (Article 13 of the IUCN Statutes)

² The World Conservation Congress, at its session in Hawai'i, United States of America, 1-10 September 2016: REQUESTS the IUCN Council to establish a Working Group composed of Councillors and Members on the role and membership of local and regional governments in IUCN, including the wider engagement among IUCN members and other Parties in order to analyze the need and effects, develop a clear definition of regional government, and formulate a comprehensive and well considered new recommendation for the next Congress.

Including Regional Governments in the Structure of the Union

Summary document on WCC-2016-Resolution-003

V 11.10.2017 – by Hilde Eggermont, with comments from Jenny Gruenberger, Ali Kaka, Jennifer Mohamed-Katerere, Luc De Wever (22.09.2017)

Purpose

The purpose of this document is to provide a basis for the implementation of Resolution 003 on “including regional governments in the structure of the Union” adopted by the IUCN World Conservation Congress in Hawai’i in 2016 (See Box 1). The document provides an overview of the:

1. Discussions to include Local and Regional Governments and/or their Agencies (LRGA) in the Structure of the Union since 1990; and
2. Current state-of-play in order to assess the best way forward for Council to implement WCC-2016-Res-003 (see below), taking into account the existence of different views and needs.

The intention is not to influence the discussion in any given direction – but rather to understand the complexity of the issue, to benefit from the analyses already undertaken on this issue, and to avoid duplication of efforts.

Box 1: WCC-2016-Res-003: Including regional governments in the structure of the Union

The World Conservation Congress, at its session in Hawai’i, United States of America, 1-10 September 2016: REQUESTS the IUCN Council to establish a Working Group composed of Councillors and Members on the role and membership of local and regional governments in IUCN, including the wider engagement among IUCN members and other Parties in order to analyse the need and effects, develop a clear definition of regional government, and formulate a comprehensive and well considered new recommendation for the next Congress.

Background of the debate

The significance of local and regional government authorities

Local and regional levels of government in many countries and regions are playing an increasingly direct and indirect role in biodiversity conservation. In this context, local and regional governments and the citizens they represent play a relevant and important role in biodiversity conservation. Local and regional governments contribute financially to conservation through local expenditures and biodiversity conservation programmes, while their citizens contribute to national biodiversity programmes through taxes, knowledge,

practices and activities. Local and regional governments control natural resources directly and their citizens have a large effect on biodiversity through consumption of natural resources and other demands they place on ecosystems. Often, these authorities are responsible for the development, enactment and implementation of laws, policies and strategies on nature conservation and protection.

More broadly, environmental governance is being decentralized in many parts of the world, based on the adage “act locally and think globally”. In many parts of the world, local and regional government authorities are gaining increased responsibilities for biodiversity and natural resources management.

The [IUCN Programme 2017-20](#) approved in Hawai‘i emphasizes that action for change is required at all levels and defines several results and targets related to the production of knowledge and tools to influence decision-makers at national and subnational levels. IUCN’s expertise in collaborating with local and regional governments to conserve biodiversity, develop the evidence base of the economic, social and environmental benefits of nature-based solutions, and communicate success stories to inspire positive action, through projects such as the [World Environmental Hubs](#) and [URBES](#) (Urban Biodiversity and Ecosystem Services) is located at the IUCN Brussels Office.

Current IUCN Statutes

The current IUCN Statutes regarding membership of ‘government agencies’ reads as follows:

Article 4(a): *The Members of the IUCN shall be:*

Category A: (a) States and government agencies ...

Article 5(b): *... ‘Government agencies shall be organizations, institutions and, when applicable, government departments, which form part of the machinery of government in a State, including those agencies of the components of federal States or of States having an analogous structure’ ...*

The current IUCN Statutes allow government agencies at the national and sub-national level, i.e. the level immediately below that of the State/national level, to be admitted as IUCN Members in Category A, under the conditions in which they “form part of the machinery of government in a State, including those agencies of the components of federal States or of States having an analogous structure”. However, the Statutes do not state clearly whether government agencies at the local and regional level can be admitted as members to IUCN. However, they exclude local and regional government authorities (LRGA) – as citizen elected bodies – from admission to IUCN.

In 2004, the Council recognized this lack of clarity and, based on legal advice, interpreted the Statutes in favor of membership for local and regional government agencies (below the subnational level). Very few such agencies made use of this possibility.

The lack of clarity was one of the main reasons that led Council to propose to the 2012 Congress the option to amend the Statutes in order to make local and regional government agency membership possible. The proposal did not achieve the required 2/3 majority in both Categories A and B needed for approval.

In May 2015, at the time Council considered interpretation of the Statutes as a possible way to clarify that local and regional government agencies may join as IUCN Members. Council

received legal advice strongly recommending not to chose this option as it would constitute a clear disregard of the express vote of the IUCN membership at the 2012 Congress. Council subsequently decided to consult the membership through the Regional Conservation Forums of 2015 on options to amend the Statutes, the same as the ones it had proposed in 2012.

The IUCN Statutes thus seem to disadvantage States with agencies depending on local and regional governmental authorities that have (decentralized) decision authority on biodiversity conservation.

It is worth noting in this regard that, in February 2017, Council admitted the Haikou Municipal Government as a Government Agency member, following encouragements to them to apply for IUCN membership.

Opportunities for IUCN

Proponents of inclusion of LRGA argue that there are two advantages for IUCN, first more effective conservation and second, increased membership and revenue. More specifically, it is argued by these proponents that it is increasingly difficult to deal with environmental matters without the involvement of LRGA because in many countries these authorities have responsibility for environment management and governance. Some argue that in order to obtain committed involvement of LRGA it is necessary to ensure that they have capacity to influence IUCN's policymaking processes through membership. Further in some contexts, LRGA are perceived to be more effective 'conservationists' than national authorities. In addition, their participation maybe considered appropriate as they are most often democratically-elected representatives of a local population and may have more direct engagement with the population than higher-level government agencies. Opening up membership for LRGA is thus considered an opportunity to increase IUCN's membership and revenues, to find new partners for its actions, and enhance the legitimacy of its positions and actions at localised levels.

Possible implications for IUCN

The risk for IUCN is that creating a new membership category with full membership rights under the current Statutes would have major implications for the governance of the Union. The IUCN Statutes currently provide for a two-chamber system in which the voting rights of national states are weighted against non-governmental organization in accordance with their overall representative function. Members have accepted that this system has resulted in a fair balance of power among the different categories of membership. **To date there has been clarity that there is no desire to change the fundamental structure of the Union** (see further – 'Clarity on the discussions'), i.e., there is a general consensus that there shall only be two categories of voting membership (abstraction made of the new Category C Indigenous Peoples' Organizations established by the 2016 Congress whose votes are added to those of Category B for the purpose of taking decisions at Congress). There is little desire to create a new fourth category of voting membership. There has been an emerging consensus that if regional and local governments are included as members then they should be accommodated within Category A membership.

Several governance implications need to be considered:

- A new category of membership could lead to a move away from a two-chamber to the creation of a three-chamber system (or rather four chambers taking into account the new Category C established in Hawaii). A third chamber may be perceived as an imbalance if one regards the new category for local and regional governments as a second government category/chamber.
- In case of a new Category with voting rights for local and regional governments, it must also be decided whether in order to be adopted, a decision must be approved by all voting Categories including the new Category of local and regional governments. In other words, even with very few Members/votes, a new Category could stop decisions from being adopted (a *de facto* veto). The solution adopted in Hawaii for Indigenous Peoples' Organisations was to create a new voting Category C but to add their votes to those of Category B (so that Category C cannot stop decisions from being taken).
- If a two-chamber system is retained then there is the risk that there will be an imbalance, inside Category A, between State Members with LRGA members and States without LRGA members. As it emerges from the models tested by Council in 2011, 2013 and 2015, no matter whether States are given 3 votes (as is currently the case), or 4 or 5 votes, the perception of imbalance may become an important obstacle.
- The new membership category could be perceived, over time, as creating a 'parallel assembly'.
- A further consideration is that IUCN should not be seen to be interfering in the constitutional set-up of a State and can therefore not oblige States to accept that local and regional governments join IUCN if they have no legal authority under the laws of their country to join international organizations. In the same vein, it may be difficult for some States to accept that the Statutes would allow the collective vote of the local and regional governments on a specific issue to be different from that of the State Member. It would also create an unusual situation if the vote of a new Category of local and regional governments on a specific issue would be different from the vote of Category A. It would, for example be a reputational risk for IUCN if a local/regional governmental authority in one chamber did not vote the same as a State Member in the other chamber.

History of the process and discussions

1990-2000

The issue of local and regional government membership was considered at the 18th Session of the General Assembly in Perth, Australia 1990; and at the First Session of the World Conservation Congress in Montreal, Canada 1996. On both occasions, **proposals for amendments of the Statutes** to allow local and regional governments to become members were **soundly rejected¹ by the IUCN membership**.

¹ The 1990 Congress records say the following about this vote: "Following an informal show of cards, the Chair ruled that there was a clear majority against this proposal, which would have been, in consequence, rejected. The Council subsequently withdrew the proposal at their next meeting." The 1996 Congress records state the following about this vote: "An overwhelming show of voting cards rejected the inclusion of "sub-national entities". Thus the membership categories of the Union are unchanged. The Congress also agreed to reinsert the phrase from the existing Statutes to the effect that in the case

2001 – 2004

In 2001, the *Honorable Consejo Municipal de la Provincia Cercado del Departamento de Cochabamba* (HCM; City Council of the Cercado Province of the Dept of Cochabamba), Bolivia applied for membership of IUCN. Council considered this application at its 57th meeting in 2002 and **decided to reconsider the issue of local government membership**.

Council Decision C/57/26² requested the Governance Task Force to further review the possibility for including local or subnational government organizations as members of IUCN. Further, the IUCN Legal Counsel was mandated to prepare a legal opinion on whether or not this is possible under the provision of the current Statutes.

According to the IUCN **legal advisor’s opinion**, components of a State, i.e. local government bodies, could not be members of IUCN. However, the Statutes do provide that agencies of local government bodies (such as an environmental protection department or park agency) are eligible to join as government agency members. The effect of this is that at an IUCN World Conservation Congress, where a State member and one or more federal agencies are also members, a local government agency of that State would have to share the voting allotment of federal government agencies (i.e. federal and local government agencies would share one vote amongst themselves).

Based on this legal opinion and the relevance of local governments in the environmental decision-making and management processes, Council in 2004, “on the recommendation of the Membership Committee and on the proposal of Alistair Gammell, seconded by Nobutoshi Akao, the Council noted that environmental agencies of local government bodies were eligible for admission under membership Category A (a) - Government Agencies, and decided not to propose a statutory change concerning local government membership at this time.” (quoted from Council decision C/60/47).

2008

In 2008 the World Conservation Congress, Resolution-WCC-4.008, requested Council to:

- 1) Seek legal advice from experts with the IUCN network and the World Commission on Environmental Law (WCEL) on how local and regional authorities might be included

of a federal State, government agency members may include organizations, institutions and government departments at central or at state level.”

² Extract from the minutes of the 57th Council Meeting (December 2002):

New Categories of Membership

The Chair informed Council of the Committee’s deliberations on membership of local government and intergovernmental organizations. Statutorily these bodies could not become members of IUCN.

The issue of local government membership had been considered twice in the past (at the 18th Session of the General Assembly, Perth, Australia 1990; and at the First Session of the World Conservation Congress, Montreal, Canada 1996). On both occasions the proposal had been rejected by the IUCN membership. However, the Committee felt that IUCN might damage its objective to “encourage and assist” by not admitting local governments. Also the role played by local governments in conservation of nature and natural resources was very important in countries with decentralized systems of governance. This role had also been further strengthened at WSSD. The need to inform members about the importance of the issue was highlighted. In view of the ongoing work of the Governance Task Force on a wide range of issues with IUCN members, it was suggested that the Task Force should consider membership of local authorities in IUCN within the context of these other issues.

Decision C/57/26 Upon the recommendation of the Membership Committee and on the proposal of Alistair Gammell, seconded by Christine Milne, Council requested the Governance Task Force to review the possibility for including local or sub-national government organizations as members of IUCN.

in the structure of the Union, produce a legal, technical report for discussion by the IUCN Council before the end of 2009 and distribute this document to IUCN Members;

- 2) Develop options, on the basis of this legal advice and with the support of the IUCN Legal Advisor, to address issues raised by members at the 4th Session of the World Conservation Congress³ to present to Council by mid-2010;
- 3) Consult, at the latest by 2011, the IUCN membership on these options, including through National and Regional Committees, IUCN members representing local and regional government authorities, and also to bring into the discussion local and regional government authorities through representative organizations;
- 4) Recommend to the 5th Session of the World Conservation Congress a reform to the IUCN Statutes to include local and regional authorities in the Structure of the Union, as appropriate.

2009-2011

The IUCN Council implemented the actions required by Resolution 4.008:

- 1) At its 73rd and 74th meetings (November 2009 and June 2010 respectively), Council considered a **legal, technical report** produced by the Commission on Environmental Law (CEL) on how local and regional authorities could be included in the structure of the Union.
- 2) This legal, technical report along with **six options**, developed by the Governance Committee of Council, was distributed to IUCN Members on 30 July 2010. The proposed options were to:
 - a) Create a new membership category. Sub-questions queried whether members in this category should be given specific membership rights, such as the rights to participate in Congress, propose motions or nominate election candidates.;
 - b) Create a new membership category with specific criteria for admission⁴;
 - c) Increasing the number of votes for Category A (States and Government Agencies) with the local and regional governmental authorities of each State having one vote to be exercised collectively;
 - d) Place LRGAs under the Affiliates Category (and giving them specific rights which would otherwise not be granted to affiliates);
 - e) Create an Advisory Body comprising LRGA admitted by Council on an individual basis;
 - f) Develop an approach combining one or more of the above options
- 3) All IUCN Members, National and Regional Committees and Commission members were consulted on these options through an **electronic survey** in the months September– October 2010. The survey, received 218 responses (of which 56% were from the NGO category, 12% from the government category, and 20% from members of the IUCN Commissions) and showed a diversity of views⁵. Each option

³ The Proceedings of the 2008 Congress record the detail of the discussion which was mainly about procedural matters (Members arguing that they had not been given sufficient time to study the legal implications of the proposal). The only substantive observation was made by State member Norway who [...] was doubtful of the desirability of local and regional authorities becoming members of IUCN. Norway had a single foreign policy and this new category of membership could be confusing. The Members asked whether this new category of membership would be eligible to vote.

⁴ The difference between a) and b) is:

In a) the Members of the new Category would not have the same rights as other IUCN Members; they would only get selected membership rights;

In b) the Members would have the same membership rights but the criteria for being admitted would be specified (and could either be broad, or restrictive, depending on the wish of Congress).

⁵ a summary of the feedback is included in Congress document [WCC-2012-9.4.1/7 Rev 1 CG](#) available on the Congress website

received support from at least half the respondents, while on average one-third of the respondents disagreed with one or more option.

- 4) In April - May 2011, Council **consulted with a small⁶ sample of local and regional government authorities** through the National Committees and other representative organizations including, for example, the International Council for Local Environmental Initiatives (ICLEI). The ICLEI, itself a Member of IUCN, offered to act as local government interface for IUCN.
- 5) Given the diversity of views represented, Council undertook **an additional round of consultation with the IUCN membership during the Regional Conservation Fora** which were held in the period May to October 2011 and to which all IUCN Members were invited. During each Forum, a member of Council presented **the following three options** for discussion and feedback to Council:
 - a) **OPTION 1:** Include 'local and regional governmental authorities' in Category A (States and government agencies) where these local and regional government authorities collectively exercise one of the three [or four] State votes in accordance with that State' s constitutional structure and requirements, and with specific admission criteria for Council to review in each case;
 - b) **OPTION 2:** Create a new affiliate membership Category 'local and regional governmental authorities' with extended affiliate member rights, e.g. the right to propose election candidates, to speak in, and propose motions to, Congress, and the right to be consulted by their State Member with a view to the State member presenting the views and proposals of local and regional governmental authorities to Congress;
 - c) **OPTION 3:** Appoint an existing international organization with members which are local and regional governmental authorities, to serve as the local government interface for IUCN, e.g. the International Council for Local Environmental Initiatives (ICLEI).

The feedback from IUCN Members represented a broad spectrum of views ranging from support for the full membership of local and regional governmental authorities in Category A to objection against this level of government having full membership in any Category. **This diversity of Member views can, in part, be explained by the diversity of legal and governance systems around the world which assign very different roles and legal competencies to local and regional governmental authorities (local and regional governments).**

2012 (see Annex 1)

Because of the diversity of views expressed, Council decided to submit the options below for the consideration of the 2012 World Conservation Congress in Jeju (quote from Congress document [WCC-2012-9.4.1/7 Rev 1 CG](#)): amend the Statutes to:

- 1) **Option 1:** Clearly express that LRGA may apply for membership in Category A as government agencies. Government agencies at the local and/or regional level, along with agencies of other sub-national levels of government, may already apply for membership. Only very few such agencies have become IUCN Members so far. An amendment to Article 5 of the IUCN Statutes would make this opportunity for government agency membership explicit. This option does not modify in any way the voting rights for government agencies provided in

⁶ The consultation was carried out via SurveyMonkey which received 31 responses.

Article 34 (a) and (b) of the Statutes. Currently, all government agencies within a State, whether or not that State is a Member of IUCN, exercise one vote collectively irrespective of whether the said government agencies are at the national, regional or local level. Option 1, would give local and regional governments members the opportunity to share in this vote.

2) **Option 2:** Enable local or regional governmental authorities (governments) to apply for full membership in Category A. For this purpose, an amendment to Article 4 of the Statutes would add the term ‘local or regional governmental authorities’ to the existing terms ‘States and government agencies’. An additional amendment to Article 5 of the IUCN Statutes would define local or regional governmental authorities as ‘those below the level of the State government which the State government represents:

- a. to be authorized under national law to adhere to the Statutes of IUCN; and
- b. to have effective decision-making authority in the field of conservation of nature and the equitable and ecologically sustainable use of natural resources.’

Under Option 2, Article 5 (b) remains in effect and the State government can itself determine whether it is the local government(s) and/or local government agency which could apply to become a Member of IUCN. Finally, this option proposes to increase the total number of votes for State Members from three to four in order to maintain a minimum of two votes for each State Member irrespective of whether there are local and/or regional governmental authority members in that State. In order to maintain the balance of power within the government membership category, one of the four votes of a State Member remains with government agencies and the new fourth vote is assigned collectively to local and regional government authorities of the State. Where there is no IUCN State Member, government agency members of IUCN within a State which is not a State Member maintain one vote, and a new vote is assigned collectively to local and regional government authorities within the state.

Neither Option 1 nor Option 2 changes the balance of votes between Government and NGO houses of Congress. Council offered these two options in order to take maximum account of the diversity of legal and governance systems around the world which assign different roles and legal competencies to local and regional governmental authorities. A summary of the main implications for each option compared to the current Statutes follows in the Table, below quoted from Congress document [WCC-2012-9.4.1/7 Rev 1 CG](#).

	Current Statues	Option 1	Option 2
Membership for Government Agencies at national, regional or local level of government	YES (implied, not explicitly stated)	YES (stated explicitly)	YES
Membership for Governmental Authorities at national, regional or	NO	NO	YES

local level of government			
Number of votes for State Members	Three (of which one to be exercised collectively by Government agencies, if any)	Three (of which one to be exercised collectively by Government agencies, if any)	Four (of which one to be exercised collectively by Government agencies, if any; and another one by local and regional authorities collectively, if any)
Number of votes for Government Agency members (whether or not there is a State Member)	One (collectively)	One (collectively)	One (collectively)
Number of votes for local and/or regional governmental authority members (whether or not there is a State Member)	None	None	One (collectively)

Both options failed, by few votes, to obtain the required 2/3 majority. As the World Conservation Congress rejected both the clarification of the status quo and the proposed change, the IUCN Council 2012-16 considered it justified to continue to study this issue including whether to make recommendations to the next Congress.

2013 (see Annex 2)

Council, in its Decision C/82/21, agreed to **consult the membership** on a document (Annex 4 of Council document C/82/11.4/1/2 Rev; here Annex 2) produced by the Governance and Constituency Committee. The document lays out a possible structure for Category A Members including sub-national and local governments of states as defined in Article 5(a) of the IUCN Statutes, and/or their agencies, and a possible voting arrangement for Category A Members. The document also suggested that the GCC be requested to develop an approach to ensuring sufficient engagement of Members to build understanding and support.

The proposal, agreed by Council (C/82/21) for the purpose of consulting members consisted of giving 5 votes to each State Member, of which one would have to be exercised by the Government Agencies (GA) collectively (if any there are in a given State) and one other collective vote would have to be exercised by the subnational and local authorities/agencies (LRGA) (if any there are in the State concerned). If there are no GA or LRGA in the State, the State Member effectively exercises five votes.

Problem⁷: This could give rise to a situation where a State Member could effectively have net only one vote more than the GA and LRGA votes together (3 to 2); this could be an issue

⁷ As mentioned in footnote of Council document C/85/5.3.1.2.1.3. 6 May 2015

for States, if LRGA voted differently from the State. A State without GA or LRGAs would have five votes. The question is: would the government of any country agree to an international body establishing a regime where some governments have net five votes while other Governments would only have net one vote more than government agencies and local and regional authorities of their country?

2015

Upon further reflection, the subgroup of the GCC was doubtful whether States would accept the consequences of the consultation paper elaborated during the 82nd Council meeting in 2013, as it may give rise to a situation where some States have net 5 votes and others, while retaining three votes, will only have net one vote more than the two collective votes of, respectively, the government agencies and the local and regional authorities of their country. Given that there was no desire to change the fundamental structure of the Union consisting of only two categories of voting membership, the GCC faced a dilemma between, on the one hand, pursuing the 2013 proposal which they believed had little chance of success and, on the other hand, pursuing the options which were turned down by the Congress in 2012.

One more option was explored: Council **to approve ‘an interpretation’ of Article 5 (b) of the Statutes** so as to recognize that the term “government agencies” includes the agencies at local and/or regional levels of government (i.e. at any level below that of the State). The IUCN Legal Advisor provided an opinion on this matter (4 May 2015), and advised that this option was not advisable in light of the rejection at the WCC2012 of both Council options, and Decision 22 of the WCC2012⁸. In her view “the only way to allow LRGA to become IUCN member would be to ask the Members’ Assembly to vote again on the matter, by proposing a Council motion to amend the Statutes. This could be done by asking the same (2012) question one more time, or by making a new proposal which would be considered having greater chances of success than the one actually under discussion.”

Council, upon recommendation of the GCC and Council document C/85/5.3.1.2.1.3., agreed **to consult the IUCN membership online and during all the Regional Conservation Fora held in 2015, on the two options for including LRGA in the structure of IUCN which failed to achieve the required 2/3 majority during the 2012 Congress.** ([Council decision C/85/25 and Annex 15](#))

2016 (see Annex 3)

Submission of a motion to the 2016 World Conservation Congress by five Government Agency Members⁹ to amend the Statutes to include local and regional government authorities in the structure of the Union led to the cessation of any further consideration of this topic by Council. Repeating almost word for word option 2 of Council’s proposals to the 2012 Congress, the motion proposed to amend the Statutes creating a new sub-Category in Category A called “local and regional governmental authorities”. The motion however was voted down – this time by both Categories A and B and by a greater number of Members than was the case in 2012. Instead, Congress approved WCC-2016-Res-003. The [2016 Members’ Assembly Proceedings](#) (pp. 79-80) contain a summary of the discussion on this

⁸ Which requested the preparation of amendments to the Statutes, for consideration of the 2016 Congress, with the purpose of making the Members’ Assembly solely responsible for all aspects related to membership admission.

⁹ Ministry of Territory and Sustainability, Government of Catalonia, Spain; Agency for Nature and Forest of the Flemish Ministry of Environment, Nature and Energy, Belgium; Consejería de Medio Ambiente y Ordenación del Territorio de la Junta de Andalucía, Spain; Ayuntamiento de Málaga, Spain; Ministry of Agriculture, Agrarian Development, Minor Irrigation, Industries and Environment, Sri Lanka. See [Congress document WCC-2016-8.2/1](#).

topic held during the plenary sittings of the 2016 Members’ Assembly, including the arguments for and against.

It is interesting to note that the wording of the motion submitted by the 5 Government Agencies was revised by the Contact Group before it was submitted to the vote and turned down by the Members’ Assembly. The Contact Group had restricted the motion to apply only to “regional governments” which it had defined as “those below the central government and above the local level”. Also, the motion as revised by the Contact Group added the “regional governments” under the sub-category “Government Agencies”. It therefore kept the number of votes for each State (three) unchanged and specified that the (existing) collective vote was assigned to the “Government Agency Members and/or regional government Members”.

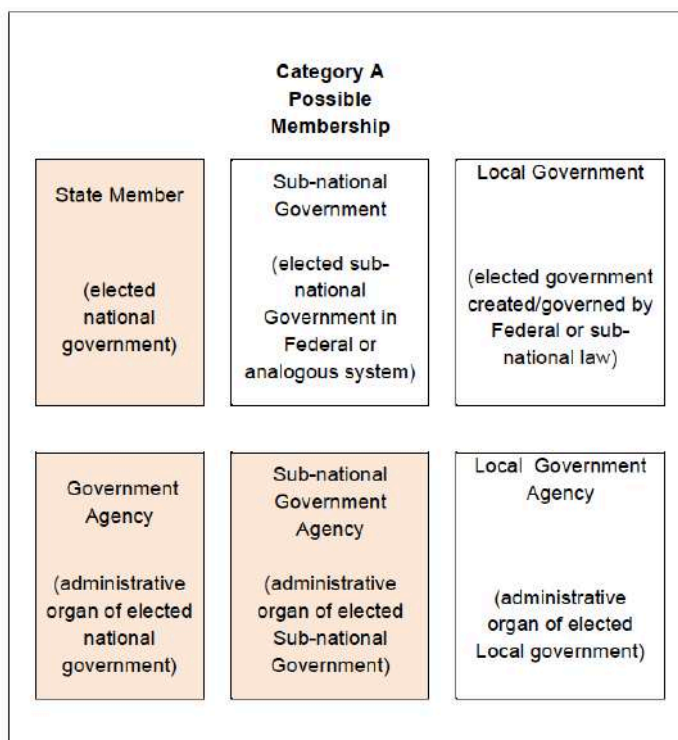
Discussion

Possible Structure of Category A Membership

In the diagram below (quoted from Annex 4 to Council document C/82/11.4/1/2), the three entities of government in the boxes (with pink colour) already qualify for membership under Article 5 of the Statutes.

The diagram also makes it clear that there are three possible, distinct levels of elected Government and three possible, distinct levels of agency which service each level of Government. Collectively, these forms of Government and their authorities could form Category A membership.

In the diagram, the term “sub-national” refers to the level immediately below that of the State which Article 5 (b) of the IUCN Statutes defines explicitly as: “the components of federal States or of States having an analogous structure”. However, this provision in the Statutes only refers to “agencies”. Elected governments at sub-national level (as opposed to their agencies) do not qualify for IUCN membership.



Creation of a New Voting Category or of a Sub-Category in Category A

To date it appears that there is no desire by the majority of members to change the fundamental structure of the Union, i.e. two categories of voting membership, whose approval is required to take decisions The Categories A and B, however contain Sub-Categories which do not affect this fundamental structure. It is worth noting here that Resolution [WCC-2016-Res-004](#) adopted by the 2016 WCC on the inclusion of indigenous peoples' organisations in IUCN created a third Category of voting membership, Category C, whose votes are added to the votes of Category B for the purpose of taking decisions. Applying the same approach, regional and local governments, if they are to be admitted, could be accommodated in a new voting Category D membership as they involve elected representatives and the agencies supporting them. The approach could be a combination of the existing arrangement for Government Agencies (now in Category A) in that all local and regional governments could of one country could be given one collective vote, and the parallel with the solution applied for new Category C – *Indigenous Peoples' Organisations* in that the collective vote of local and regional governments of each country be added to the votes of Category A for the purpose of taking decisions.

Definition of “Local and Regional Government Authorities”

There is a lack of clarity as to what constitutes “Local and Regional Government Authorities”. In some countries, a Local or Regional Government Authority is an elected body. In other countries, it is a department or agency of an elected body. These differences have led to confusion in the discussion. A clear and globally acceptable definition would need to be agreed if the Statutes are amended.

The diagram above seeks to provide some conceptual clarity with respect to levels of elected Governments and their agencies.

Voting Structure

IUCN has to date maintained in its Statutes the approach that there will be three votes allocated to each State Member Sub-Category (a) once a State Party member joins and that number remains constant whether or not there are Government Agency Members in the Sub-Category in addition to the State member on the understanding that, if there is one or more Government Agency Members in the State concerned, one of the three votes shall be assigned to the Government Agency Members collectively.

There appears to have been lack of consideration of the power of voting within Sub-Category (a), or the relative impact of the number of votes to be exercised within Sub-Category (a) and by whom, if there is a change to the number of allocated votes. The current voting structure in Sub-Category (a) ensures that the State Member can exercise dominance over voting by other Members in Sub-Category (a) from its country in that the State would have net 1 vote more than Government Agency Members collectively. This dominance would be at stake if a second collective vote be assigned to a new sub-category “local and regional governments” as, in the scenario where State holds 3 votes, the State would then only maintain 1 vote. Even when increasing the number of votes for each State Member to 4, the State would have no net advantage over its Government Agencies and

local and regional government Members. State Member representatives appear reluctant to forego that dominance for their own domestic reasons.

States need to consider the consequences of a proposal to increase the “States and government agencies” sub-category votes from 3 to 4, or even 5. Such a change might give rise to a situation where a State Member (without Government Agencies or local and regional governmental authorities) has net 4 (or 5) votes, while other State Members (with both Government Agencies or local and regional governmental authorities) would have fewer or no net votes.

Consideration of Altering Article 7(b)

Consideration may need to be given to amend Article 7 (b) of the Statutes if the proposal is made to enable local or sub-national governmental authorities to apply for IUCN membership because the vast majority of elected (local/sub-national) governments might find it difficult to comply with both conditions.

For information Article 7(b) reads:

["Government agencies, national and international non-governmental organizations, indigenous peoples' organisations and affiliates shall become Members of IUCN when the Council has determined that: ... (b) the applicant has as one of its central purposes the achievement of IUCN's objectives and a substantial record of activity in the conservation of nature and natural resources; ..."]

ANNEXES

Annex 1

2012WCC- Governance Motion, as finally submitted to the Plenary after Contact Group discussions and voted for (v14.09.2012; source: Congress Paper WCC-2012-9.4.1/7 Rev 1 CG)

Annex 2

Discussion paper resulting from the Task Force on LRGA (sub-committee of the GCC) – drafted by Andrew Bignell with inputs from Giuseppe Zaccagnini and Luc De Wever. (v13.11.2013; Annex 4 to Council document C/82/11.4/1/2)

Annex 3

2016WCC- Governance Motion A, as finally submitted to the Plenary after Contact Group discussions and voted for (v11.09.2016;
<https://portals.iucn.org/congress/motion/A/25407>)

IUCN
WORLD CONSERVATION CONGRESS 2012
6–15 September 2012, Jeju, Republic of Korea

**Proposed amendment to the IUCN Statutes:
Including local and regional governmental authorities
in the structure of the Union**

Origin: IUCN Council

Action Requested: The World Conservation Congress is invited to CONSIDER the two options proposed by Council with regard to the inclusion of local and regional governmental authorities in the structure of the Union; and subsequently to

ADOPT the draft motion concerning a ‘Proposed amendment to the IUCN Statutes: Including local and regional governmental authorities in the structure of the Union’ reflecting the option which will receive the support of the Members’ Assembly.

DRAFT MOTION

OPTION 12: Government membership for local or regional governments

The IUCN World Conservation Congress,

Adopts the following amendments to the IUCN Statutes:

- i) Amend Article 4(a) of the IUCN Statutes as follows: (existing text, if any, to be removed in ~~strike through~~; proposed new text *in blue italics*)

The Members of IUCN shall be:

Category A: (a) States, ~~and~~ government agencies *and local or regional governmental authorities*;

- ii) Amend Article 5 of the IUCN Statutes by inserting a new provision 5(c) and renumbering all subsequent sections as follows: (existing text, if any, to be removed in ~~strike through~~; proposed new text *in blue italics*)

(c) *local or regional governmental authorities of a given State shall be those below the level of the State government which the State government represents:*

(i) *to be ~~able authorized~~ under ~~the State's national~~ law to adhere to the Statutes of IUCN;*
and

(ii) *to have effective decision making authority in the field of conservation of nature and the equitable and ecologically sustainable use of natural resources;*

- iii) Amend Article 7 to insert “Local and regional government authorities” before the words “Government agencies, national and international non-governmental organizations and affiliates shall become Members of IUCN when the Council has determined that:

- iii)iv) Amend Article 34 of the IUCN Statutes by inserting new provisions 34(b) and 34(d) and renumbering the existing sections as follows: (existing text, if any, to be removed in ~~strike through~~; proposed new text *in blue italics*)

Governmental Members shall have voting rights as follows:

- (a) each State Member shall have ~~three~~ *four* votes, one of which shall be exercised collectively by the government agency Members, if any, of that State;
 - (b) *one of the four votes of a State Member in which there are also local and/or regional governmental authority Members of IUCN, shall be exercised collectively by the local and/or regional governmental authority Members of that State;*
 - (c) government agency Members of IUCN within a State which is not a State Member of IUCN shall collectively have one vote;
 - (d) *local and/or regional governmental authority Members of IUCN within a State which is not a State Member of IUCN shall collectively have one vote;*
- [...]

OPTION 24: Government agency membership at the local and regional levels of government

The IUCN World Conservation Congress,

Adopts the following amendment to the IUCN Statutes:

Modify Article 5(b) of the IUCN Statutes as follows: (existing text, if any, to be removed in ~~strike through~~; proposed new text *in blue italics*)

government agencies shall be organizations, institutions and, when applicable, government departments, which form part of the machinery of government in a State, including those agencies of ~~the components of federal States or of States having an analogous structure~~ *government authorities at all levels below that of the central government of the State, including* ~~without limitation~~ *at the local and regional levels;*

EXPLANATORY MEMORANDUM

Rationale

Local and regional levels of government are playing an increasingly direct and indirect role in biodiversity conservation, as the population in many countries and regions of the world becomes increasingly urbanized. Local and regional governments and their citizens increasingly represent a relevant and important level at which effective action on biodiversity conservation is taken. They contribute financially to conservation through local expenditures and biodiversity conservation programmes, and their citizens contribute to national biodiversity programmes through taxes. Local and regional governments control natural resources directly and their citizens have a large effect on biodiversity through consumption of natural resources and demands they place on ecosystems. More broadly, environmental governance is being decentralized in many parts of the world, through the principle of “acting locally and thinking globally”. In many parts of the world local and regional government authorities are gaining increased responsibilities for biodiversity and natural resources management.

The current IUCN Statutes only allow government agencies or departments at the sub-national level to be admitted as IUCN Members, in Category A, under the conditions in which they “form part of the machinery of government in a State, including those agencies of the components of federal States or of States having an analogous structure”. Agencies of sub-national governments may apply. However, the Statutes do not provide sufficient clarity that government agencies at the local and regional level can be admitted to IUCN. They also exclude local and government authorities – as a level of government – from admission to IUCN.

In Resolution 4.008, the 2008 World Conservation Congress recognized ‘that regional and local authorities are critical actors in making progress on the conservation of nature in many countries’.

Further, acting upon a motion submitted by IUCN Members to amend the IUCN Statutes ‘on a new membership category for local and regional government authorities’, Resolution 4.008 requested Council to ‘recommend to the 2012 World Conservation Congress a reform to the IUCN Statutes to include local and regional authorities in the structure of the Union, as appropriate.’

Council Implementation of Barcelona Resolution 4.008 – Research, Options, Consultation

The IUCN Council implemented the actions required from it by Resolution 4.008 as follows.

Council obtained and considered at its 73rd and 74th meetings (November 2009 and June 2010 respectively) a legal technical report from a group of experts of the Commission on Environmental Law (CEL), with the assistance of the Chair of the Commission on Environmental Law and the IUCN Legal Adviser on how local and regional authorities could be included in the structure of the Union. The legal technical report from CEL was distributed to IUCN Members on 30 July 2010 together with six options developed by the Governance Committee of Council:

- Creating a new membership category (with the sub-questions whether the members of this category should be given specific membership rights such as the right to participate in Congress, to propose motions or to nominate election candidates);
- Creating a new membership category with specific criteria for admission;
- Increasing the number of votes for Category A (States and Government Agencies) with the local and regional governmental authorities of each State having one vote to be exercised collectively;
- Placing LRGAs under the Affiliates Category (and giving them specific rights which would otherwise not be granted to affiliates);
- Creating an Advisory Body comprising LRGA admitted by Council on an individual basis;
- A progressive approach combining one or more of the above options.

At the request of Council, all IUCN Members, National and Regional Committees and Commission members were consulted on these options through an electronic survey in the months September–October 2010. The survey, which received 218 responses in total (of which 56% were from the NGO category, 12% from the government category, and 20% from members of the IUCN Commissions), showed a diversity of views from the membership: each option received support from at least half the respondents, while on average one-third of the respondents disagreed with one or more option.

In April/May 2011, Council consulted with a small sample of local and regional government authorities directly through the National Committees, or through representative organizations, including the International Council for Local Environmental Initiatives (ICLEI), itself a Member of IUCN, which offered to act as local government interface for IUCN.

Given the diversity of views represented, Council undertook an additional round of consultation with the IUCN membership during the Regional Conservation Forums which were held in the period May to October 2011 and to which all IUCN Members were invited.

During each Forum, a member of Council presented the following options for discussion and feedback to Council:

- include 'local and regional governmental authorities' in Category A (States and government agencies) where these local and regional government authorities collectively exercise one of the three [or four] State votes in accordance with that State's constitutional structure and requirements, and with specific admission criteria for Council to review in each case;
- create a new affiliate membership Category 'Local and regional governmental authorities' with extended affiliate member rights, e.g. the right to propose election candidates, to speak in, and propose motions to, Congress, and the right to be consulted by their State Member with a view to the State member presenting the views and proposals of local and regional governmental authorities to Congress;
- that an existing international organization with members which are local and regional governmental authorities, serves as the local government interface for IUCN, e.g. the International Council for Local Environmental Initiatives (ICLEI).

The feedback from IUCN Members represented a broad spectrum of views ranging from support for the full membership of local and regional governmental authorities in Category A to objection against this level of government having full membership in any Category. This diversity of Member views can in part be explained by the diversity of legal and governance systems around the world which assign very different roles and legal competencies to local and regional governmental authorities (local and regional governments).

Options

As a consequence, Council decided to submit for the consideration of the 2012 World Conservation Congress, two options:

- **OPTION 1:** to state expressly in the current Statutes that government agencies at the local and/or regional levels of government may apply for membership in Category A as government agencies. Government agencies at the local and/or regional level, along with agencies of other sub-national levels of government, may already apply for membership. Only very few such agencies have become IUCN Members so far. An amendment to Article 5 of the IUCN Statutes has the purpose of making this opportunity clear and explicit.

This option does not modify in any way the voting rights for government agencies provided in Article 34 (a) and (b) of the Statutes: all government agencies within a State, whether or not there is a State Member of IUCN, continue to exercise one vote collectively whether the Government Agencies are at the national, regional or local level.

- **OPTION 2:** to enable local or regional governmental authorities (governments) to apply for full membership in Category A. For this purpose, an amendment to Article 4 of the Statutes would add the term 'local or regional governmental authorities' to the existing terms 'States and government agencies'. An additional amendment to Article 5 of the IUCN Statutes would define local or regional governmental authorities as 'those below the level of the State government which the State government represents:
 - 1) to be authorized under national law to adhere to the Statutes of IUCN; and
 - 2) to have effective decision-making authority in the field of conservation of nature and the equitable and ecologically sustainable use of natural resources.'

Under Option 2, Article 5 (b) remains in effect and the State government can itself determine whether it is the local government(s) and/or local government agency which could apply to become a Member of IUCN.

Finally, this option proposes to increase the total number of votes for State Members from three to four in order to maintain a minimum of two votes for each State Member irrespective of whether there are local and/or regional governmental authority members in that State. In order to maintain the balance of power within the government membership category, one of the four votes of a State Member remains with government agencies and the new fourth vote is assigned collectively to local and regional government authorities of the State.

Where there is no IUCN State Member, government agency members of IUCN within a State which is not a State Member maintain one vote, and a new vote is assigned collectively to local and regional government authorities within the state.

Neither Option 1 nor Option 2 changes in any way the balance of votes between Government and NGO houses of Congress. Council offers these two options which, in its view, take maximum account of the diversity of legal and governance systems around the world which assign very different roles and legal competencies to local and regional governmental authorities.

A summary of the main implications for each option compared to the current Statutes follows in Table 1 hereafter.

The current IUCN Statutes do not specify how the collective vote is to be exercised. In practice, during the Congresses held so far, the Government Agencies of a State, whether a State Member or not, have consulted each other and have designated one of them to exercise their collective vote.

Table 1: summary

	Current Statutes	Option 1	Option 2
Membership for Government <u>Agencies</u> at national, regional or local level of government	YES (implied, not explicitly stated)	YES (stated explicitly)	YES

Membership for <u>Governmental Authorities</u> at national, regional or local level of government	NO	NO	YES
Number of votes for <u>State Members</u>	THREE (of which one to be exercised collectively by Government Agencies, if any)	THREE (of which one to be exercised collectively by Government Agencies, if any)	FOUR (of which one to be exercised collectively by Government Agencies, if any, and another one by local and regional authorities collectively, if any)
Number of votes for <u>Government Agency Members</u> (whether or not there is a State Member)	ONE (collectively)	ONE (collectively)	ONE (collectively)
Number of votes for <u>Local and/or regional governmental authority Members</u> (whether or not there is a State Member)	NONE	NONE	ONE (collectively)

Including Local and Regional Governments in the Structure of the Union

Origin: based on the work plan of the subcommittee of the Governance and Constituency Committee, the present discussion paper has been prepared by Andrew Bignell with inputs from Giuseppe Zaccagnini and Luc De Wever.

Required Action: The Governance and Constituency Committee is requested review the paper and determine if it wishes to seek Council guidance to further develop the case for Local and Regional Government membership of the Union.

Background

According to existing IUCN Statute 5 (b)¹, administrative organs (environment agencies) of local governments, i.e. below the 'sub national level' may already apply for IUCN membership in Cat. A.² One of the two options proposed by Council to, but not accepted by the 2012 Congress, was precisely intended to clarify this in unambiguous terms.

IUCN Congress considered the case for expanding the membership of the Union to include local and regional government authorities at Congress in 2008 and 2012. Resolutions to this effect failed at both meetings despite a lengthy discussion on the advantages of accommodating such membership.

The resolutions were put to Congress in 2008 by Council and followed a period of discussion by Council and advice from relevant Commissions. The 2008 Congress passed a resolution (Resolution WCC 4.008) requiring the Council to undertake specific tasks and take the matter to the 2012 Congress. At the 2012 Congress the proposal (Council's second option) to expand membership was defeated by a narrow margin.

The Governance and Constituency Committee must determine if it wishes to raise the matter of expanding membership again and, if so, seek Council endorsement to prepare a case to present to the 2016 Congress.

Clarity of Discussions

To date there has been clarity that there is no desire to change the fundamental structure of the Union, i.e., there shall only be two categories of voting membership. A third category of voting membership will not be created.

There was an emerging consensus is that regional and local governments should be accommodated within Category A membership.

There appears to be less clarity as to what constitutes "Local and Regional Government Authorities". In some countries a Local or Regional Government Authority is a citizen elected body. In other countries it is a department or agency of a citizen elected body. This difference in definition has led to confused discussion.

There also appears to have been lack of clarity with respect to the power of voting (or the number of votes to be exercised within Category A and by whom). The current voting structure in Category A ensures that the State Member can exercise dominance over voting by Members from its country in Category A. The State Member representatives appear reluctant to forego that dominance for their own domestic reasons (IUCN should not become involved in discussions regarding how Category A votes are exercised in any one instance but it must recognize this dominance is a factor in the current voting structure).

¹ 'Article 5 (b) - Government agencies shall be organizations, institutions and, when applicable, government departments, which form part of the machinery of government in a State, including those agencies of the components of federal States or of States having an analogous structure'.

² Among the very few examples are e.g. the Natural Parks Service of the Council of Barcelona, the Ayuntamiento de Malaga, the Diputación Provincial de Málaga and the Conseil Régional d'Ile de France.

Consequences of Clarity or Lack of Clarity in Discussion to Date

The fundamental voting structure of the Union (Category A and Category B) has been reaffirmed.

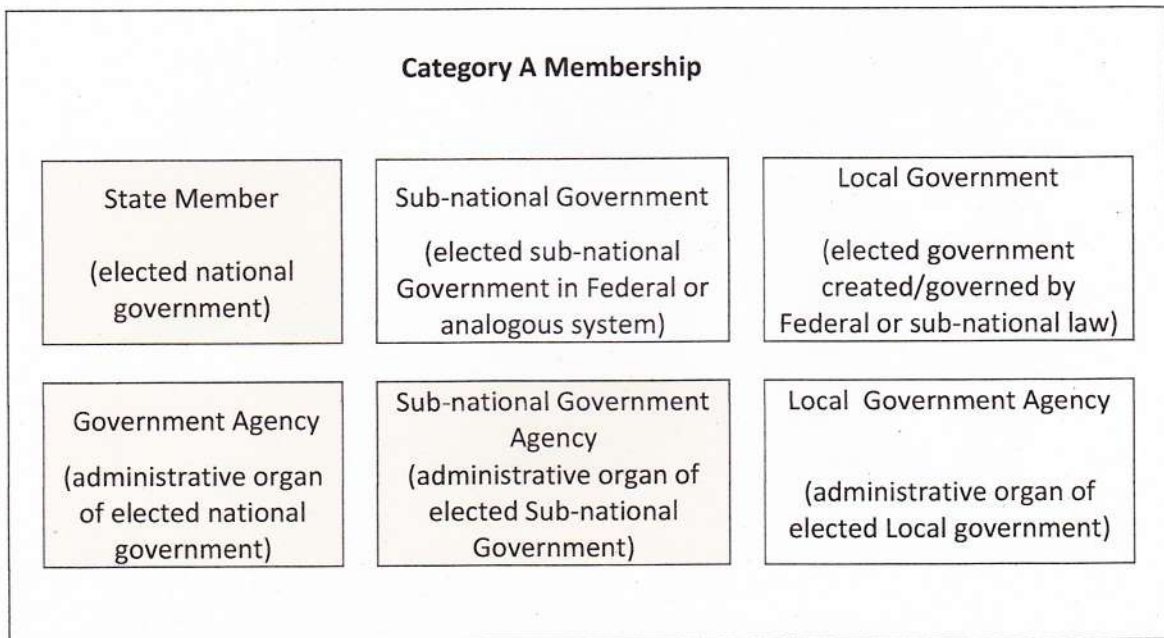
There is an emerging consensus that if Local and Regional Authorities are to be permitted to join the Union then this should occur within Category A.

There is confusion as to what constitute local and regional authorities that requires clarification.

There is confusion as to possible voting structure in Category A if Local and Regional Authorities are able to join the Union as voting members.

Possible Structure of Category A Membership

Drawing on discussions that have occurred at previous Council meetings, advice from Commission members and discussion at Congress in 2008 and 2012 it is possible to develop a diagram of membership for Category A that addresses concerns raised to date. This is set out in the table below.



The diagram above makes it quite clear that there are three possible, distinct forms of elected Government and three possible, distinct forms of agency which service each form of Government. Collectively, these forms of Government and their authorities could form Category One membership. Note that the three forms of government in the boxes with pink color already qualify for membership under Article 5 of the Statutes.

Possible Voting Structure for Category A Members

It will be necessary to devise a new voting structure if it is desired to retain the current voting power within the Category. The current arrangement is set out in the table below:

Current Voting Arrangement

	Votes exercised by State Member	Votes exercised by Government Agency Members (collectively)	Advantage to State Member
State Member only	3	0	3
State Member and Government Agencies	2	1	1
Government Agencies only	0	1	--

A possible arrangement of voting which retains the current voting power within the Category is set out in the table below:

Possible Voting Arrangement

Category A Membership		
State Member (elected national government)	Sub-national Government (elected sub-national Government in Federal or analogous system)	Local Government (elected government created/governed by Federal or sub-national law)
Government Agency (administrative organ of elected national government)	Sub-national Government Agency (administrative organ of elected Sub-national Government)	Local Government Agency (administrative organ of elected Local government)

Possible scenarios	Total Votes in Category	Votes exercised by State Member (SM)	Votes exercised by Government Agency Members (GA)	Votes exercised by Local Governments and Agencies (LGA)	Advantage to State Party
SM	5	5			5
SM +GA	5	4	1		3
SM + LGA	5	4		1	3
SM+GA+LGA	5	3	1	1	1
GA			1		--
LGA				1	--
GA + LGA			1	1	--

In the above arrangement, beside the State Members and Government Agencies which are already included under current Statutes, Category A membership is extended with one additional group 'Sub-national and Local Governments and their Agencies' (the boxes in yellow color).

The above arrangement retains the current distribution of voting power within the Category, giving the State Member an advantage of votes over other Members. The electronic voting structure now adopted at Congress facilitates the use of such a voting structure.

The implications of the above voting arrangement must be further examined, including among others:

- the consequences for existing Members in the subgroup 'Sub-national Government Agencies' which under current Statutes, Article 5 (b), are included in the 'Government Agencies' group, but would be subsumed under the new group 'Sub-national and Local Governments and their Agencies';
- the impact of increasing the total number of votes for Member States from 3 to 5 on the voting method for elections defined in Rule 81 (g).

Recommendations:

It is recommended that the Governance and Constituency Committee of Council recommends that Council:

1.	Approve further work to determine a possible arrangement to allow Sub-national and Local Governments (and their Agencies) to become members of Category A.
2.	Approve consultation with Members regarding any possible proposed changes to the Statutes prior to a proposal for such a change being placed before the next Congress
3.	Requests that prior to any proposal being placed before the next Congress a further paper be presented to Council following the consultation outlined in two above.

A - Including regional governments in the structure of the Union

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The World Conservation Congress, at its session in Hawai'i, United States of America, 1-10 September 2016:

OPTION 1:

[1. ADOPTS the following amendment to the IUCN Statutes:

i) Amend Article 4(a) of the IUCN Statutes as follows: (existing text, if any, to be removed in ~~strike through~~; proposed new text in **bold**)

The Members of IUCN shall be:

Category A: (a) States, ~~and~~ government agencies **and regional governments**;

ii) Amend Article 5 of the IUCN Statutes by inserting a new provision 5(c) and renumbering all subsequent sections as follows: (existing text, if any, to be removed in ~~strike through~~; proposed new text in **bold**)

(c) regional governments within a given State shall be those below the central government and above the local level:

(i) which have legal competences to adhere to the Statutes of IUCN; and

ii) which have effective decision making authority in the field of conservation of nature and the equitable and ecologically sustainable use of natural resources

iii) Amend Article 34 of the IUCN Statutes by amending sections (a) and (b) as follows: (existing text, if any, to be removed in ~~strike through~~; proposed new text in **bold**)

Governmental Members shall have voting rights as follows:

(a) each State Member shall have three votes, one of which shall be exercised collectively by the Government Agency Members **and/or regional government Members**, if any, of that State;

(b) Government Agency **and/or regional government** Members of IUCN within a State which is not a State Member of IUCN shall collectively have one vote;

2. REQUESTS the IUCN Council to establish a working group composed of Councillors and Members on the role and Membership of local and regional governments in IUCN, including wider engagement among IUCN Members and other Parties in order to analyze the need and effects, develop a clear definition of regional government, and formulate a comprehensive and well considered new recommendation for the next Congress.]

OPTION 2:

[REQUESTS the IUCN Council to establish a working group composed of Councillors and Members on the role and Membership of local and regional governments in IUCN, including wider engagement among IUCN Members and other Parties in order to analyze the need and effects, develop a clear definition of regional government, and formulate a comprehensive and well considered new recommendation for the next Congress.]

94th Meeting of the IUCN Council, Gland (Switzerland), 29 April – 2 May 2018

13th meeting of the Governance and Constituency Committee

Agenda Item GCC13/1.3

Review of IUCN's governance

Origin: Planning, Monitoring and Evaluation Unit

REQUIRED ACTION

The Governance and Constituency Committee of the Council is invited to consider the draft Terms of Reference for the external review of IUCN's governance and to make a recommendation to Council.

Background

1. Council document C/93/GCC/1.3 dated 27 October 2017 invited the GCC to consider the commissioning of an external review of IUCN's governance to be delivered in time for a strategic discussion of Council at mid-term as required by Council decision C/88/7 (April 2016), and, as appropriate, to recommend to Council a process for the preparation of draft Terms of Reference and scope of the external review of IUCN's governance
2. Council decision C/88/7 ("Enhanced practices and reforms of IUCN's governance") requires Council to *"commission an external review of IUCN's governance at least every four years, to be delivered in time to inform a Council 'strategy session' at mid-term. The Terms of Reference and scope of the external review shall be established by Council. They shall include the review of the IUCN Commissions as described in A4.7 above. The Management Response to the external reviews of IUCN's governance shall be made by the Council with the understanding that with regard to the Commissions, the responsibility for the Management Response shall be shared between Council and the Director General. Provision for review should be included in the IUCN budget."*
3. During its meeting of 19 November 2017, the GCC decided to continue the discussion during a remote meeting which was held on 7 February 2018 (12th meeting of the GCC).
4. During its meeting on the 7 February 2018, the GCC decided that a review of IUCN's governance should be commissioned and requested the Secretariat to prepare draft Terms of Reference enabling a review that is led by an external reviewer in cooperation with an internal IUCN team (selected members of the GCC and the Union Development Group), that addresses governance issues of the Union in the broad sense (beyond the Council and the Commissions), and that would be given more time (final report by the end of 2018 with an interim report on issues related to Council available for consideration at the 95th Council meeting).
5. At the request of the Secretariat, further guidance for the ToR was provided by the Chair of GCC who invited the Deputy Chair of GCC, Jenny Gruenberger as well as Ali Kaka, Vice-President sitting in the GCC, during a remote meeting and the ensuing email correspondence on draft ToR prepared by the Secretariat's Planning, Monitoring and Evaluation Unit.

6. The draft ToR annexed hereafter representing the results of this work, is presented to the GCC for discussion at its 13th meeting in Gland on 29-30 April 2018.

Terms of reference for an external review of aspects of IUCN's governance (2018)

Terms of Reference

Draft: 18 April 2018

Rationale

IUCN's governing body, the Council, seeks an independent consultant for a participatory review of IUCN's governance.

For the purpose of this review, IUCN governance is defined as the combination of processes and structures as overseen by the IUCN Council and implemented by the IUCN Council and its Bureau, Members, Secretariat and Commissions to inform, direct, manage, and monitor the organization's activities toward the achievement of its objectives. Good governance in IUCN entails the application of the following principles:

- Leadership, organizational performance management and accountability
- Delegation
- Stewardship, controlling and risk management
- Integrity
- Transparency, access to information and public participation
- Inclusiveness, diversity and renewal

Particular focus should be given to measuring alignment with industry best practice on corporate governance, including but not limited to appropriate information/ disclosure flows, transparency and communications including between these different components and the effectiveness with which Council is able to carry out its statutory role, while recognising IUCN's unique role as a conservation organisation and global leader composed of an active membership base.

In response to a review carried out in 2015 Council adopted a package of reforms including carrying out independent reviews of IUCN's governance at least once every four years. Council presented an extensive report on these reforms to the 2016 IUCN World Conservation Congress upon which the Congress adopted the amendments to the Statutes proposed by Council as part of the reforms. For additional background see Annex 1 to Terms of Reference: Further context and background on governance in IUCN.

This review is commissioned as a result of these reforms and based on the meeting of the Governance and Constituency Committee of the IUCN Council (7 February 2018) to improve overall governance taking into account the roles and relationships between different parts of IUCN.

Purpose and scope

The overall purpose of this review is to contribute to the continued improvements in the effectiveness of IUCN's governance structures and functions including, in particular, the statutory role Council has to ensure the accountability of IUCN's six [Commissions](#) (networks of experts) and the Secretariat. The review will provide recommendations for reforms and/or enhanced practices to further ensure alignment with international best practice in principles of good governance.

The **specific objectives** for the review in 2018 are:

- 1) To review the effectiveness of the governance roles and relationships between constituent parts of the Union (Council, Bureau, Secretariat, Commissions, Members and National and Regional Committees) and the principles needed to improve governance.
- 2) To assess progress and review the effectiveness of the implementation of the Council's Management Response to the External Review of Aspects of IUCN's Governance (2015), in particular items of the "Enhanced practices and reforms of IUCN's governance".

- 3) To review governance aspects of the Commissions in light of the measures included in the aforementioned “Enhanced Practices and Reforms”, as specified below:

Council is to commission a quadrennial external review of the Commissions including their mandates, as part of the quadrennial “External Review of IUCN’s governance” (see hereafter C4.). The purpose will be to ensure necessary renewal of existing Commissions and broader renewal of Commissions or other network mechanisms to meet the knowledge generation, expert and Programme delivery needs of the Union. These will have to be done well before the date fixed for filing nominations for Commission Chairs, and possibly mid-way into the 4 year inter-sessional period. (A4.7, Enhanced practices and reforms of IUCN’s governance)

Ensure that Council commissions an external review of IUCN’s governance at least every four years, to be delivered in time to inform a Council ‘strategy session’ at mid-term. The Terms of Reference and scope of the external review shall be established by Council. They shall include the review of the IUCN Commissions as described in A4.7 [below]. The Management Response to the external reviews of IUCN’s governance shall be made by the Council with the understanding that with regard to the Commissions, the responsibility for the Management Response shall be shared between Council and the Director General. Provision for review should be included in the IUCN budget. (C4, Enhanced practices and reforms of IUCN’s governance)

It should be noted that a substantive review of the programmatic contributions of the Commissions or their mandates is outside the scope of this review. The evaluator is invited to make use of findings of recent External Reviews concerning the Commissions.

Audience and intended use

The main target group for this review is the Council who will prepare a formal Management Response to the recommendations of the review and specify, as appropriate, intended results, activities, and timelines. The Council will share the responsibility for responding to recommendations on Commissions with the Director General.

The Director General will also give her response to the specific aspects relating to them where appropriate in the final report.

Approach and methodology

The review should be carried out in a participatory manner, including through consultation of the Governance and Constituency Committee (GCC) of Council in the finalisation of review questions as well as the participation of other relevant stakeholders.

The specific **methodology** should be outlined by the evaluator in an inception note, but is expected to include at least:

- 1) The consultant will define a governance maturity model specific to IUCN, where maturity is assessed at the organizational level and for each of the six commissions. Recommendations should be provided for each level of analysis and for each of the commissions (max 3 per commission).
- 2) Define what constitutes adequate comparisons or benchmarks in terms of good corporate governance. For instance, this might follow The Institute of Internal Auditors’ *Assessing organizational governance in the public sector* (October 2014)¹ and other relevant literature

1

https://www.iaa.nl/SiteFiles/IIA_leden/PG%20Assessing%20Organizational%20Governance%20in%20the%20Public%20Sector.pdf

such as ICGN Global Governance Principles (2017)², King Report on Governance for South Africa (2009)³, King IV Report for Corporate Governance for South Africa (2016)⁴, OECD G20/OECD Principles of Corporate Governance (2015)⁵ and the UK Corporate Governance Code (2016)⁶ bearing in mind the relevance of such reports for an organisation as IUCN.

- 3) A review of activities and results of the work undertaken by the Council, Secretariat and Commissions to date in implementing the “Enhanced Practices and Reforms” adopted in response to the External Evaluation of Aspects of IUCN’s Governance (2015).
- 4) Interviews with current Councillors, including in particular representatives of the GCC, the Programme and Policy Committee (PPC) and the Finance and Audit Committee (FAC) and the Chairs of Commissions.
- 5) Interviews with senior staff in the IUCN Secretariat, a sample of IUCN Members and other stakeholders.

The methods may also include:

- 6) Focus groups or other facilitated group sessions for making sense of the collected input;
- 7) Cases studies, featuring deep dives on significant decisions and events; and/or
- 8) Direct observation of debates at key events to assess dynamics and relationships between stakeholders.

The consultant may also be invited to participate as an observer to one or both the forthcoming Council meetings scheduled April 29-2 May (Gland, Switzerland) and October 6-8 2018 (Jeju, Republic of Korea).

The Governance and Constituency Committee (GCC) of the Council, which is tasked “to assist and provide advice to the Council with a view to maintaining an effective governance [...]” (Terms of Reference approved by Council in February 2017), will manage the review with assistance from IUCN’s Planning, Monitoring, Evaluation and Risk (PMER) Unit.

At the start of the assignment, the consultant will be provided with:

- Document list with explanatory context in addition to those noted in Annex 2 to Terms of Reference: Documents to consult
- Calendar of upcoming events in the IUCN four-year cycle to provide context for recommendations
- More detail on processes already underway that address governance, such as work on the IUCN Enterprise Risk Policy

This review is expected to meet the principles in the [IUCN Monitoring and Evaluation Policy](#), see in particular section 6.3 Monitoring and evaluation principles and note that section 6.2 Evaluation criteria does not necessarily apply to this review.

The budget for this Review using the above methods is set at 40 000 CHF.

² <http://icgn.flpbks.com/icgn-global-governance-principles-2017/#p=2>

³ http://c.ymcdn.com/sites/www.iodsa.co.za/resource/resmgr/king_iii/King_Report_on_Governance_fo.pdf

⁴

https://c.ymcdn.com/sites/www.iodsa.co.za/resource/resmgr/king_iv/King_IV_Report/IoDSA_King_IV_Report_-_WebVe.pdf

⁵ http://www.oecd-ilibrary.org/governance/g20-oecd-principles-of-corporate-governance-2015_9789264236882-en;jsessionid=991fg2omsf1p6.x-oecd-live-02

⁶ <https://www.frc.org.uk/getattachment/ca7e94c4-b9a9-49e2-a824-ad76a322873c/UK-Corporate-Governance-Code-April-2016.pdf>

Qualifications of the evaluator

- Proven track record in participatory and evidence-based review and in reviewing organizational governance, in particular;
- demonstrated track record in delivering “high stakes” reviews/evaluations on time, with a high degree of professionalism and ethical standards;
- deep understanding of governance and management issues of international organizations;
- good command of at least two of IUCN official languages (English, French, Spanish).

Timetable and deliverables

The consultant will be responsible for providing the following **deliverables**:

- 1) An inception report, including a governance maturity model adapted to IUCN, the review methods, the final research questions, detailed activity planning and stakeholders to be interviewed, survey instruments, the table of contents of the final report and templates for tables, graphs and charts.
- 2) A benchmarking report, briefly assessing IUCN against the governance maturity model and, to the extent possible, benchmarking IUCN against similar organizations. This report should provide recommendations for areas of governance for future review.
- 3) A presentation of initial findings related to the enhanced Council practices to be delivered at the GCC meeting to be held during the Council meeting of 6-8 October 2018, Jeju, Republic of Korea.
- 4) A draft report of maximum 20 pages (excluding annexes), including:
 - a) An update on progress and analysis of the implementation of the “Enhanced Practices and Reforms” adopted in response to the External Evaluation of Aspects of IUCN’s Governance (2015).
 - b) Any additional recommendations for reform / enhanced practices on corporate governance.
 - c) Recommendations should be short term (reforms that can be implemented before 2020 period), medium term (that require adoption by the next Members’ Assembly in 2020) and long-term (additional considerations of further work to move towards best practice).
- 5) A final report incorporating relevant feedback from the Chair of GCC and the Director General through the Chair of GCC.
- 6) A PowerPoint presentation of the key conclusions of the report to be delivered to the GCC at a meeting to be convened in January 2019 (by telephone).

Milestone / deliverable	Indicative completion date
Approval of ToR	94 th Council meeting
Recruitment of review consultant and start of mandate	End May 2018
Inception note including final review/research questions	End June 2018
Data collection and analysis	June-September 2018
Initial findings on Council practices shared	End September 2018
Presentation of initial findings to GCC in Jeju	6-8 October 2018
Draft report	15 November 2018
Final Report	10 January 2019
Presentation of final report at Council/GCC	January 2019
Council preparation of a management response	April 2019

Annex 1 to Terms of Reference: Further context and background on governance in IUCN

The World Conservation Congress, in particular the Members' Assembly, brings together its membership every four years to, among others, define the general policy, approve the Programme for the period until the next Congress, elect the Council, and amend the Statutes. Between sessions of the Congress, the Council - and acting on its behalf and under its authority, the Bureau - set strategic direction for the Union, provide oversight and guidance for the components of the Union, fulfil fiduciary responsibilities to the membership, and render account to them.

Other components (statutory bodies) of the Union such as the Secretariat, the Commissions, and the Regional and National Committees and Regional Fora, exercise the mandates and the authority assigned to them under the Statutes.

Governance fell within the scope of each External Review of IUCN from 1991 until 2011. In 2015 a separate External Evaluation of Aspects of IUCN's Governance was commissioned and overseen by the GCC.

The In 2015 two external reviews of IUCN – one focused on governance (in particular the Council) and the other focused on IUCN (in particular programme implementation) – led to several actions/responses:

- “Enhanced practices and reforms of IUCN's governance” found in the management response to the review, and adopted by Council in April 2016, notably:
 - o A4.7 – a commitment to regular external review of the Commissions
 - o C4 – a commitment to regular external review of governance
 - o C4.1 – an agreed practice for Council to comment on any governance aspects from future IUCN External Reviews (those focused on programme implementation)

Furthermore, in the Commissions' response to the External Review of IUCN 2015 they re-affirmed the governance relationship between Council and Commissions: “The oversight by Council should be on the annual workplan and budget of each Commission.”

Other recent major improvements to governance spearheaded by the Council in the four-year period 2013-2016 are:

- A strengthened Bureau. To improve its ability to act in a timely and effective manner, the Council enhanced the role of the Bureau and Council Committees. This improvement now enables Council to address issues more strategically while still exercising high-level oversight.
- Enhanced accountability of Commissions. The improvements also clarified and strengthened the accountability of Commissions to the Council, and further continued the reporting line of the Commission Chairs to the President. A number of steps were also taken to reduce potential conflicts of interest of the Commission Chairs as members of the Council including the Council's approval of Commission Financial Rules in 2017.
- Pre-Congress approvals of motions. A significant number of motions were approved electronically in advance of Congress. This move follows recommendations from the Members' Advisory Group on Motions and Resolutions Implementation established by the IUCN membership at the 2012 Congress.
- Council sets four year strategic priorities. Keen to find new and more effective ways of operating, Council decided to set 4-year strategic priorities at the start of each term Council approved a strategic planning and reporting framework to oversee the Union's overall performance. It also clarified its role in developing and approving for submission to Congress the draft quadrennial Global Programme as the key instrument for setting the Union's strategic direction.
- A revised & strengthened transparency policy. Council revised its Transparency Policy, making all official Council documents available to donors and the public immediately following each meeting. All Council (and Bureau) decisions continue to be published and input sought from the membership prior to every Council meeting on the basis of key Council documents.

Annex 2 to Terms of Reference: Indicative list of documents to consult

Additional documents, and specific references within these documents, will be made available during the inception phase of the assignment.

Document	Given name
Governance review 2015	External evaluation of aspects of IUCN's governance 2015
- Council response	<p>Management response to "External Evaluation of Aspects of IUCN's Governance", Final Report, Universalia, November 2015 (Approved by the IUCN Council during its 88th meeting, April 2016, decision C788/7)</p> <ul style="list-style-type: none"> - Narrative - Annex 2: Enhanced practices and reforms of IUCN's Governance (including Annex 1 Strategic Planning and Reporting Framework for the Union, and Annex 2: Proposed scheme of distribution of responsibilities between the Council, the Bureau, the Council's Standing Committees (FAC, GCC, PPC) and the Congress Preparatory Committee (CPC). - Annex 3: Approved amendments to the IUCN Regulations - Annex 4: Strategic Planning and Reporting Framework incl. Annex 1: Annotated Strategic Planning and Reporting Framework - Annex 5: The IUCN Council's Policy on Transparency Approved by the IUCN Council at its 73rd meeting (decision C/73/151 , November 2009), modified at its 83rd meeting (C/83/9, May 2014) and at its 88th meeting (C/88/7, April 2016) - Annex 7: Approved amendments to the IUCN Statutes: Enhanced practice and reforms of IUCN's governance - Congress document WCC-2016-8.2/5 1 June 2016
Progress update on Council response (traffic light assessment of progress on enhanced practices)	Status of the implementation of "Enhanced practices and reforms of IUCN's governance" (last update 19 October 2017) (Council document from 93rd Council Meeting)
External Review of IUCN 2015	External review of IUCN 2015
IUCN response (April + November 2016)	External Review of IUCN 2015 Management Response Narrative (30 January 2017) including update (with table) in November 2016
Update on IUCN response in 2017	Status update on response to 2015 External Review in 2016 Annual Report , presented at 2017 November Council meeting (sections 7.1, 7.2? – and 7.3 and Annex D)
IUCN Statutes	Statutes, including Rules of Procedure of the World Conservation Congress, and Regulations
External Review of IUCN 2011	External Review of IUCN 2011
Re: transparency, communication to Members	88th IUCN Council decisions and Modifications to IUCN Regulations
Transparency and communication to Bureau	Appropriate Bureau Minute
Council and Bureau documents and decisions (public)	<p>https://www.iucn.org/about/union/council/decisions</p> <p>https://www.iucn.org/about/council/council-and-bureau-documents</p>



94th Meeting of the IUCN Council, Gland (Switzerland), 29 April – 2 May 2018

13th Meeting of the Governance and Constituency Committee

Agenda Item GCC13/1.4

Council Handbook

DOCUMENT FOR DISCUSSION IN THE GCC WORKING GROUP MEETING ON 29 APRIL 2018
BEFORE BEING SUBMITTED, WITH POSSIBLE REVISIONS, TO THE GCC

Origin: Secretary to Council

REQUIRED ACTION

The Governance and Constituency Committee of the Council is invited to

- consider the results of its working group on the Performance Tools of the Council Handbook which will meet on 29 April, and
- make a recommendation to Council on the approval of the Council Handbook.

DRAFT COUNCIL DECISION

The IUCN Council,

On the recommendation of its Governance and Constituency Committee,

Adopts the updated version of the Council Handbook as required by Council decision C/88/7 including:

- the Performance Commitment and Conflict of Interest Disclosure Form,
- the IUCN Councillor Activity Report, and
- the Self-Assessment of IUCN Council members and Evaluation of the IUCN Council Meeting;

Adopts the amendments to the Code of Conduct pertaining to the disclosure of interests;

Requests Council members to return the Conflict of Interest Disclosure Form duly filled out and signed by [date].

1. During its remote meeting of 24 July 2017 (cf. the [minutes](#) of the GCC meeting), the GCC accepted the recommendations of its working group chaired by Tamar Pataridze and recommended to the Bureau to include three performance tools, as presented by the GCC working group, in the Council Handbook:

- a. Performance Commitment for IUCN Councillors ([Annex 1 hereafter](#))
- b. IUCN Councillor Activity Report ([Annex 2 hereafter](#))
- c. Self-Assessment of IUCN Council members and Evaluation of the IUCN Council Meeting. ([Annex 3 hereafter](#))

At its 71st meeting on 30 August 2017 (cf. [minutes of the Bureau meeting](#)), the Bureau considered the three Performance Tools. The Bureau's conclusions are presented in [Annex 4 hereafter](#) (extract from the minutes of the 71st Bureau meeting).

2. Developments following the 71st Bureau meeting regarding the Performance Commitment:

2.1 On 31 October 2017, the Ethics Committee (composed of the IUCN Vice-Presidents) submitted its recommendations to the Bureau regarding the Conflict of Interest Declaration Form. (Cf. [Bureau document B/73/7](#)) The form itself would be an Appendix to the Councillors' Code of Conduct (Annex 3 to the Council Handbook). The disclosure process would be recognized in the Performance Commitment for IUCN Councillors, and the Ethics Committee suggested an amendment to the Performance Commitment to recognize this, as well as a small number of amendments to the Code of Conduct for IUCN Councillors. (The Conflict of Interest Declaration Form is [attached hereafter as Annex 5](#) as part of the document prepared for the 73rd Bureau meeting)

2.2 On 18 November 2017, at its 73rd meeting, the Bureau requested the Governance and Constituency Committee (GCC) to consider merging the Conflict of Interest Declaration Form with the Performance Commitment for IUCN Councillors. ([minutes of the 73rd Bureau meeting](#))

2.3 During the 93rd Council meeting on 21 November 2017, the President reported under Agenda Item 8 that "the Council Handbook had been revised at the request of the previous Council and presented at the retreat in February 2017. Two follow-up actions were agreed: the Ethical Committee was to look into various ethical issues and the GCC was to update the performance tools attached to the Handbook. Both have done excellent work, but the Bureau has requested GCC to look into consolidating the Conflict of Interest Declaration Form and the Performance Commitment for Council members so there are fewer forms to sign. Given the modifications to come, the President, with agreement from the four Vice-Presidents, suggested that Council approval of the Handbook and the amendments to the Code of Conduct be deferred until further work by the GCC had taken place." (cf. [draft summary minutes of the 93rd Council meeting](#))

3. The GCC Working Group on the Council Handbook will meet on Sunday 29 April 2018 as follows:

- a. From 12:30 to 13:30 (with lunch) about the Performance Commitment / Conflict of Interest Disclosure Form
- b. From 17:30 to 18:30 about the IUCN Councillor Activity Report and the Self-Assessment of IUCN Council members and Evaluation of the IUCN Council Meeting.

4. The GCC Working Group will report to the GCC on 30 April 2018 with the results of its work.

5. The GCC will be invited to adopt the Council Handbook incorporating the Performance Tools and Declaration of Interest Disclosure Form revised by the GCC, as the case may be.

The Council Handbook submitted for approval is [attached hereafter as Annex 6](#). It is the version submitted to the 93rd meeting of Council (Council document C/93/8) which shows, with track changes, the modifications made and explained in the Council document.

Performance Commitment for IUCN Councillors

(To be read by each candidate accepting a nomination to become a member of the IUCN Council. All elected and appointed Councillors are invited to sign this commitment at the time of their nomination or appointment.)

Background

The IUCN Council is taking steps to improve the effectiveness and efficiency of its governance system. Effective members of Council are a critical part of the IUCN governance system. One of the steps being taken to ensure an effective Council is to strengthen the nomination process for Councillors to ensure that criteria and expectations of what it means to be an IUCN Councillor are clear when nominations are accepted, and that Councillors make a commitment to fulfil these criteria.

The following Commitment sets out a minimum level for your participation and input to the work of the IUCN Council. Your commitment as a member of the IUCN Council is to be seen in the broader context of the overall role of the IUCN Council as set out in Articles 37–65 of the IUCN Statutes.

Performance Commitment

As a duly elected member of the IUCN Council, I agree to do my best to fulfil my duties as an individual Council member. These are to:

1. **Participate fully in the work of the Council**, by
 - a) taking part in official Council meetings as notified by the Secretariat at least one month in advance. This may include physical attendance or video- and tele-conferencing;
 - b) providing meaningful responses to official Council communications requesting comments and inputs to such Council matters as minutes, committee proposals and decisions on any matters on the Council agenda; and
 - c) participating in subcommittees and Task Forces of the Council, whether as assigned by the President or on a voluntary basis.

If, for any reason, I am not able to attend duly notified Council meetings for a prolonged period of time (three consecutive Council meetings) or to participate by some other means (telephone, email) to the satisfaction of the Bureau of Council, I agree to step down from my position as Council member and to allow the Council to replace me, as provided under the Statutes (Article 64).

2. **Serve on the Council of IUCN on a voluntary basis**, receiving no financial payment for my work as a Council member, other than reasonable reimbursement of expenses incurred in carrying out my Council duties, as set out in the Statutes (Article 63).
3. **Abide by accepted codes of conduct** and duties, specifically the Code of Conduct for IUCN Councillors which forms an integral part of this Agreement.
4. **Comply with all applicable laws and regulations of IUCN** relating to Council members.

5. **Respect the confidentiality of all information** declared by the Council to be confidential and received by me in any medium, including verbal, electronic or written.
6. **Remain accountable to the constituency of IUCN** – the membership.
7. **Acknowledge that**, if I am not able to fulfil these obligations as a Council member to the satisfaction of the Council, **Council has the right to suspend and expel me** subject to Article 64 and Article 65 of the Statutes, and to find a suitable replacement for me on the Council of IUCN.

Signature of IUCN Council member

Date

IUCN Councillor Activity Report

The IUCN Council is taking steps to improve the effectiveness and efficiency of its governance system. One of the measures being taken is to encourage all Councillors to report to Council on activities as an IUCN Councillor – at global level, regional level and national level (if applicable).

The following Councillor Activity Report outline provides a basic template for you to use in summarizing your activities as an IUCN Councillor in the period since the last Council meeting.

Please complete the Activity Report at the end of each period between Council meetings, and post it in the Council section of the Union Portal (restricted to Council members only), or submit it by email to the Secretary of Council who will upload it in the Council Portal, before the beginning of the Council meeting. Please keep the total length of your report to maximum two pages.

To minimize the financial implications, the reports will not be translated. Council members are encouraged to submit their reports in English or, if possible, together with an English courtesy translation.

Name of Councillor:

Reporting period:

1. Global level activities

Examples of activities in this category include participation in ongoing Council Committees, Task Forces, work related to global IUCN Council agenda items such as inputs to International Conventions as part of IUCN delegations (e.g. CITES, CBD). Please list the dates of this work, and briefly describe the nature/extent of your involvement and the significance of this work for IUCN.

2. Regional level activities

Examples of activities in this category include specific regional activities carried out in your capacity as IUCN Councillor, such as participation in Regional Conservation Fora, work of the Regional Committees, Regional Fora for policy discussion and debate. Please list the dates of this work, and briefly describe the nature/extent of your involvement and the significance of this work for IUCN.

3. National level activities

Examples of activities in this category include participation in the work of National Committees of IUCN, and other national-level IUCN related activities. Please list the dates of this work, and briefly describe the nature/extent of your involvement and the significance of this work for IUCN.

4. Other activities

List any other activities that you have carried out in your capacity as IUCN Councillor that you feel are of significance to IUCN.

Self-Assessment of IUCN Council members and Evaluation of the IUCN Council Meeting

1. Introduction

Effective members of Council are a critical part of the IUCN governance system. As a member of Council, you are encouraged to reflect on your performance as an individual member of Council, and on the overall functioning of Council as a whole.

The following questionnaire is a tool enabling Council members to evaluate the effectiveness of Council during its most recent meeting and to assess their own performance as members of the Council during that meeting and in the period since the previous Council meeting.

Please complete the following questionnaire either electronically or on a hard copy, if possible within 7 days of receipt of the questionnaire. Please return any hard copies to Luc De Wever, Sr. Governance Manager, Secretary to Council.

Your feedback will remain anonymous. A compilation of the results will be shared with the President and Vice-Presidents who will transmit to Council a synthesis of the Council members' feedback together with details of any follow-up actions they have taken or that they recommend to the Council.

Rating options range from 5 (very satisfied / strongly agree) to 1 (very dissatisfied / strongly disagree).

Please check your category of Councillor:

Regional Councillor

Commission Chair

Other

2. Performance of Council at this Meeting

Please indicate how much you agree with each of the following statements by checking the appropriate box. Add any comments in the last column.

Council effectively fulfilled its role to set strategic direction for IUCN	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px;">5</td> <td style="width: 20px;">4</td> <td style="width: 20px;">3</td> <td style="width: 20px;">2</td> <td style="width: 20px;">1</td> </tr> </table>	5	4	3	2	1	
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Council effectively fulfilled its role to oversee the performance of IUCN	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px;">5</td> <td style="width: 20px;">4</td> <td style="width: 20px;">3</td> <td style="width: 20px;">2</td> <td style="width: 20px;">1</td> </tr> </table>	5	4	3	2	1	
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Council effectively fulfilled its fiduciary responsibilities	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px;">5</td> <td style="width: 20px;">4</td> <td style="width: 20px;">3</td> <td style="width: 20px;">2</td> <td style="width: 20px;">1</td> </tr> </table>	5	4	3	2	1	
5	4	3	2	1			

Council functioned as a cohesive body, with members actively participating and treating each other with respect	5 4 3 2 1	
Council members were well prepared	5 4 3 2 1	
I am satisfied with the quality of decisions made by Council at this meeting	5 4 3 2 1	
Effective use is made of the Bureau in order to optimize the time available in Council for issues of strategic importance	5 4 3 2 1	

Do you have suggestions on how the overall effectiveness of Council can be improved?

Do you have suggestions on how to improve your own effectiveness as a Council member during Council meetings?

3. Leadership and Management of Council at this Council Meeting

Please indicate how much you agree with each of the following statements by checking the appropriate box. Add any comments in the last column.

The Council plenary agenda was sufficiently focused on strategic issues	5 4 3 2 1	
My time was well used in Council plenary sessions	5 4 3 2 1	
I was well briefed by the background materials provided by the Secretariat for this Council meeting	5 4 3 2 1	

The specific guidance required from Council on each agenda item was clear to me	5 4 3 2 1	
The time provided on the agenda for the business of Council was appropriately allocated	5 4 3 2 1	
The Chair managed the Council agenda in a timely manner	5 4 3 2 1	
The Chair encouraged all Councillors to participate in Council	5 4 3 2 1	
The Chair facilitated sound decision making by Council	5 4 3 2 1	
The Chair resolved conflicts when appropriate	5 4 3 2 1	
The Secretariat made an effective contribution to the (content of the) Council meeting	5 4 3 2 1	
The Secretariat provided adequate logistical and organizational support for this Council meeting	5 4 3 2 1	

Do you have suggestions on how to improve the leadership and management of Council?

Do you have suggestions on how to improve the logistical and organizational support for Council meetings (incl. travel and hotel arrangements)?

How might your skills be better utilized during the Council meeting?

--

4. Performance of the standing committees of the IUCN Council

Please check the committee of which you are a member:

- Governance and Constituency Committee
- Finance and Audit Committee
- Programme and Policy Committee

Please indicate the extent to which you agree with the following statements about the Committee of which you are a member. Add any comments in the last column.

The Committee was well led / chaired	<table border="1" style="text-align: center;"> <tr> <td style="width: 20px;">5</td> <td style="width: 20px;">4</td> <td style="width: 20px;">3</td> <td style="width: 20px;">2</td> <td style="width: 20px;">1</td> </tr> </table>	5	4	3	2	1	
5	4	3	2	1			
The Committee was well supported by the Secretariat	<table border="1" style="text-align: center;"> <tr> <td style="width: 20px;">5</td> <td style="width: 20px;">4</td> <td style="width: 20px;">3</td> <td style="width: 20px;">2</td> <td style="width: 20px;">1</td> </tr> </table>	5	4	3	2	1	
5	4	3	2	1			
The Committee focused on important strategic issues facing the Union and its results will make a significant contribution to the advancement of IUCN's Mission	<table border="1" style="text-align: center;"> <tr> <td style="width: 20px;">5</td> <td style="width: 20px;">4</td> <td style="width: 20px;">3</td> <td style="width: 20px;">2</td> <td style="width: 20px;">1</td> </tr> </table>	5	4	3	2	1	
5	4	3	2	1			
The committee is effectively assisting the decision process in Council	<table border="1" style="text-align: center;"> <tr> <td style="width: 20px;">5</td> <td style="width: 20px;">4</td> <td style="width: 20px;">3</td> <td style="width: 20px;">2</td> <td style="width: 20px;">1</td> </tr> </table>	5	4	3	2	1	
5	4	3	2	1			
Serving on this Committee was a valuable use of my time	<table border="1" style="text-align: center;"> <tr> <td style="width: 20px;">5</td> <td style="width: 20px;">4</td> <td style="width: 20px;">3</td> <td style="width: 20px;">2</td> <td style="width: 20px;">1</td> </tr> </table>	5	4	3	2	1	
5	4	3	2	1			

What could be done to improve the effectiveness of your committee, incl. to better utilize your own skills?

--

Do you have suggestions on how to improve your own effectiveness as a member of a Council committee?

5. Task Forces and Working Groups

Please check the Task Force / Working Groups that you served on since the last Council meeting:

[As of 29 March 2017, no Working Group or Task Force has been formally established]

Please indicate the extent to which you agree with the following statements about the Task Force/Working Group you served on during the period since the last Council meeting. Add any comments in the last column.

The Task Force/Working Group focused on important strategic issues facing the Union and its results will make a significant contribution to the advancement of IUCN's Mission	<table border="1"><tr><td>5</td><td>4</td><td>3</td><td>2</td><td>1</td></tr></table>	5	4	3	2	1	
5	4	3	2	1			
The Task Force/Working Group was well led / chaired	<table border="1"><tr><td>5</td><td>4</td><td>3</td><td>2</td><td>1</td></tr></table>	5	4	3	2	1	
5	4	3	2	1			
The Task Force/Working Group received adequate support from the Secretariat	<table border="1"><tr><td>5</td><td>4</td><td>3</td><td>2</td><td>1</td></tr></table>	5	4	3	2	1	
5	4	3	2	1			

If the Task Force / Working Group on which you served is to continue its work in the period until the next Council meeting, what could be done to improve its effectiveness, incl. to better utilize your own skills?

Do you have suggestions on how to improve your own effectiveness as a member of a task force / working group?

6. My role as a member of the IUCN Council between Council meetings

Please indicate how much you agree with the following statement by checking the appropriate box. Add any comments in the last column.

The role that I should play as a Council member between Council meetings is clear to me	<table border="1"><tr><td data-bbox="694 309 742 376">5</td><td data-bbox="742 309 790 376">4</td><td data-bbox="790 309 837 376">3</td><td data-bbox="837 309 885 376">2</td><td data-bbox="885 309 933 376">1</td></tr></table>	5	4	3	2	1	
5	4	3	2	1			

How might your skills be better utilized between Council meetings?

7. Additional comments

What suggestions do you have to improve this evaluation and self-assessment process?

Anything else you wish to suggest with regard to Council's effectiveness and your own performance as a Council member that has not yet been covered by this questionnaire?

Thank you for your feedback!

Improvement of the Performance Tools of the Council Handbook

Review of Council performance tools which were part of the 2003 Council Handbook (Recommendations and the text of the performance tools are presented in / attached to the [minutes of the GCC meeting of 24 July 2017](#))

Jennifer Mohamed-Katerere, Chair of GCC presented the recommendations of a small working group set up by the GCC to review the performance tools that were part of the 2003 version of the Council Handbook and which the GCC had approved, adding that following consultations held after the GCC meeting, the working group also recommended that the Vice-Presidents oversee the implementation of the IUCN Councillor Activity Reports because Vice-Presidents have overall responsibilities at a more senior level in the management of the Council. Luc De Wever, Secretary to Council, clarified point 3 of the draft decision – the language of which should be improved for clarity – as follows: the Secretary to Council collects the self-assessments made by Council members on the form attached to the draft decision, which he forwards to the Vice-Presidents who, in turn, present to the Council a summary with recommendations. This becomes a standard item on the agenda of the Council either at every Council meeting or once / year – to be decided by the Bureau.

During the discussion, the following issues were raised:

a. Regarding the "Performance Commitment for IUCN Councillors":

- A Bureau member requested that a reference to potential conflicts of interest was made in the tool with wording such as "review and avoid any potential conflict of interest", even if conflicts of interest were covered in detail by the Council's Code of Conduct. Other members clarified that the purpose of the Performance Commitment was merely to remind Council members of their main responsibilities as a Councillor, and that the text of the Performance Commitment and the Code of Conduct should be harmonized with respect to the conflict of interest provision. Vice-President Amin Malik Aslam Khan, Chair of the Ethics Committee (EC), recalled that the EC was preparing the conflict of interest declaration form referred to in the Code of Conduct and which Council members were going to be invited to sign every year.

The Bureau requested the GCC (the working group chaired by Tamar Pataridze) to work with the Ethics Committee (Vice-President John Robinson) to examine whether the Performance Commitment tool and the conflict of interest declaration form could be merged in order to reduce the number of forms to be signed, or to harmonize both documents on the point of conflicts of interest in case both documents are maintained as separate documents, and to make a recommendation to Council.

b. Regarding the "IUCN Councillor Activity Report":

- The observation was made that 2 pages per Council member will still make the total number of pages very heavy for all Council members to read.
- While agreeing that activity reporting is important, the President had reservations because some Councillors carry more responsibilities in Council than others (e.g. as Committee Chair, Focal Person etc.), some Councillors have access to support (a Deputy Chair, Secretariat etc.) or resources from their own organisations, cultural differences, language issues etc. may be a barrier, while some Council members may want to do more but are in a learning process. Bureau members emphasized the need for some form of support to enable Council members to fulfil their role, e.g. to participate in the Member meetings in the region, to attract more State Members, etc. and that such support should be centralized, e.g. by the President's office, and then allocated to Council members.
- The Chair of GCC brought the idea of the GCC in the meantime studying a common template (e.g. a Google document) to document what happens in the regions/locally, identify opportunities, help us understand constraints we face, etc.

The Bureau postponed the consideration of any form of individual Councillor activity reporting until the question of support to Council members has been studied. In light of the current financial situation, the President encouraged Council members already accessing resources inside or outside IUCN to continue to access these. He will ask a Vice-President to study, in consultation with the Chairs of the standing committees and the DG / Secretariat, some form of reasonable support (incl. a ceiling) for Council members who do not have such access to resources, and to prepare a proposal to the next Bureau meeting.

c. Regarding the "Self-Assessment of IUCN Council members and Evaluation of the IUCN Council Meeting":

- Possible alternative forms of evaluation were discussed such as filling in the form next time but keep it for ourselves in order to discuss improvements at the next Bureau meeting; designate a Councillor to share her/his reflections followed by discussion in Council; at the end of the Council meeting, the President chairs a discussion during which Councillors evaluate online and immediately discuss the results on each question.

The President invited Bureau members to share their feedback with the Chair of GCC who will consult with the other standing committee Chairs and the GCC and bring back a form, revised as appropriate, so that we can start using the form as soon as possible.



73rd Meeting of the Bureau of the IUCN Council

Agenda Item 7

Recommendations from the Ethics Committee of the IUCN Council

Origin: Chair of the Ethics Committee

REQUIRED ACTION:

The Bureau is invited to express its support for the amendments to the Code of Conduct for IUCN Councillors which are consequential to the Conflict of Interest Disclosure Form approved by the Ethics Committee and will be submitted to the Council for adoption.

1. As announced in the report of the Ethics Committee to the 69th Bureau Meeting (May 2017), the Ethics Committee, based on its authority as per the Code of Conduct for IUCN Councillors, has approved a Conflict of Interest Disclosure Form which Council members will be required to sign / submit on an annual basis.
2. The Disclosure Form requires two amendments to the Code of Conduct itself which the Ethics Committee will propose to the Council for adoption.
3. The Bureau will be invited to express its support for these amendments.
4. Following a request of the Bureau (71st Meeting, August 2017), the Ethics Committee suggests to recognize the disclosure process in the Performance Commitment for IUCN Councillors proposed by the GCC.
5. Enclosed herewith is the message which John Robinson addressed to the President on behalf of the Ethics Committee on 31 October 2017, introducing the Disclosure Form as well as the draft amendments to the Code of Conduct and to the Performance Commitment which are all attached to John Robinson's note.

From: [John Robinson](#)
To: [ZHANG Xinsheng](#)
Cc: [AMIN ASLAM Malik](#); [KAKA Ali](#); [TIRAA Anna](#); [DE WEVER Luc](#)
Subject: Conflict of Interest disclosure - for Bureau consideration
Date: 31 October 2017 21:14:26
Attachments: [Annex 2 to the Code of Conduct for IUCN Councillors - Conflict of interest disclosure form 23 Oct 2017.pdf](#)

Dear Mr. President,

On behalf of the Ethics Committee, I would like to table the following documents for discussion at the upcoming Bureau meeting. These documents propose amendments to (1) the Code of Conduct for IUCN Councillors, including a draft Conflict of Interest disclosure form attached as an annex and (2) the Performance Commitment for IUCN Councillors, to take into account the Conflict of Interest disclosure form. The Ethics Committee requests that the Bureau notes the proposed amendments and forward, hopefully with support, the proposed amendments to the full Council for discussion and consideration of the proposed amendments. Vice Presidents Amin Khan and Ali Kaka are members of Bureau and can introduce the proposed amendments, but let me provide some additional talking points.

Conflict of Interest Disclosure Form

The Conflict of Interest Disclosure Form seeks to follow best practice in corporate and not-for-profit boards.

- If adopted, the amendments would request Councillors to provide "self disclosures", which would require Councillors to make a decision if there are any circumstances associated with their service on the IUCN Council that might be a perceived or real conflict of interest. In other words, the details of disclosure would be made by the Councillor. Council Members, through this form, would inform the Ethics Committee of any conflicts and withdraw from participation in any decision-making concerned with the matter.
- The form requests Councillors to (1) identify any business transactions, and (b) identify any role which might impair one's ability to act in the best interests of IUCN. What this process tends to do therefore is (a) encourage Councillors to think about whether they have a conflict of interest, and (b) protect them (and IUCN) in the event of a complaint.
- All Councillors would fill out the form once a year, probably at a designated Council meeting, and return the form to the Chair of the Ethics Committee. Regular submission of this disclosure form is standard good practice and would keep disclosures up to date. The disclosure forms would not be available to anyone outside the Ethics Committee, but would be archived by the Secretary of the Council.
- The role of Ethics Committee is to help advise Council Members of how to treat conflicts of interest through the disclosure submission process (it is not to 'police' any real or perceived conflict of interest). This would also be an opportunity for Council Members to seek the advice of the Ethics Committee on whether or not to recuse themselves from any decision-making. In the event that there is an external complaint about a perceived conflict of interest, then the Ethics Committee would refer to the the disclosure form to inform their deliberations before reporting back to the Council with its recommendations.
- The form itself would be an Annex to the Councillor Code of Conduct.

Performance Commitment for IUCN Councillors

The disclosure process would be recognized in the Performance commitment, and there is a suggested amendment to the Performance Commitment to recognize this..

Code of Conduct for IUCN Councillors

There are two amendments to the Code of Conduct that recognizes this disclosure process.

I attach the proposed annex to the Code of Conduct, and amendments to the Code of Conduct and to the Performance Commitment. I am available to answer any questions.

John

--

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Conflict of interest disclosure form

Introduction

The Code of Conduct for IUCN Councillors (hereafter “Code of Conduct”) requires each Council member to *“compile and submit an annual disclosure form to the Chairperson of the Ethics Committee. The information to be provided in such a disclosure form shall be requested in a standard format determined by the Ethics Committee.”*

The Code of Conduct further specifies that *“Failure by any Council member to disclose potentially relevant interests in the disclosure form will be considered by the Ethics Committee, which if necessary, shall report back to Council with its recommendations.”*

All Council members are kindly requested to return the present form electronically or by hard copy addressed to the Chair of the Ethics Committee of the IUCN Council c/o Secretary to Council (**email address**) by (**deadline**) or before the end of the Council meeting during which the form has been distributed. Hard copies should be sent under a sealed envelope marked “Interest Declaration Form” by postal mail to (**address**).

The disclosure forms will not be distributed outside the Ethics Committee whose members will use the information only for the purpose of carrying out their mandate under the Code of Conduct.

If you have any questions, please contact the Chair of the Ethics Committee (**name, email address and telephone number**).

Conflict of interest according to the Code of Conduct for Councillors

In the Code of Conduct, “Conflict of Interest” means *“a situation in which a Council member holds or assumes a role or engages in a relationship with a third party, in a context other than that member’s role in and responsibilities to IUCN, which impairs or reduces, or appears to impair or reduce, that member’s capacity to act in the best interest of IUCN.”*

The Code of Conduct further specifies that: *“Council members should arrange their private and other professional affairs in a manner that will prevent actual, perceived or potential conflict of interest. Whenever a Council member is in a conflict of interest situation as defined herein, that Council member is under an affirmative duty of disclosure to the Ethics Committee. [...] If any such conflict arises, Council members must promptly inform the Council Ethics Committee (and if appropriate the Chair of the meeting where the conflict arises) and withdraw from participation in decision-making connected with the matter. If the conflict is apparent or potential rather than actual, Council members should seek the advice of the Ethics Committee of Council about whether they should recuse themselves from the situation that is creating the appearance of or potential for conflict.”*

Definitions

The Code of Conduct defines:

“Close relatives” as family members including spouse, domestic partner, ancestors, siblings (whether of whole or half-blood), children, grandchildren, and great grandchildren; and the spouses of siblings, children, grandchildren, and great grandchildren.

“Other related parties” as:

- Any partnership, limited liability company or professional corporation in which a Council member or her/his close relative(s) is a partner, member or shareholder, respectively, with direct or indirect ownership interest in excess of 5%;
- Any entity (governmental, non-governmental, or corporate) in which a Council member serves as an officer, director / board member, trustee, or key employee;
- Any entity in which a Council member and/or her/his close relative(s) own more than 35% of the combined voting power, profits interest, other ownership or beneficial interest, whether directly or indirectly, individually or collectively.

“**Business transaction**”: Business transactions include, but are not limited to, contracts of sale, leases, licenses, loans, and arrangements for the performance of services.

Disclosures

Please provide the information requested below for the calendar year ending (**date**).

If there is nothing to disclose, please write “N/A”. Attach additional pages if necessary to provide a complete response.

Return the present form electronically or by hard copy addressed to the Chair of the Ethics Committee of the IUCN Council [*c/o Secretary to Council?*] (**email address**) by (**deadline**). Hard copies should be sent under a sealed envelope marked “Interest Declaration Form” by postal mail to (**address**).

A. Identify any business transaction in which you or a close relative or other related party of yours engaged with IUCN or any of IUCN’s components¹:

B. Identify any other role you hold or assume, or any other relationship with a third party, in a context other than your role in and responsibilities to IUCN, which impairs or reduces, or appears to impair or reduce, your capacity to act in the best interest of IUCN:

I hereby affirm that, to the best of my knowledge, this annual disclosure statement is correct and complete. I also hereby acknowledge my obligation to notify the Ethics Committee of the IUCN Council promptly if at any time any of the facts stated above change.

Name:

Date:

Signature:

¹ “Components” in the sense of Article 15 of the IUCN Statutes comprise: the World Conservation Congress, the Council, the National and Regional Committees and Regional Fora of Members, the Commissions and the Secretariat (including its regional, country and out-posted offices).

Amendments to the Code of Conduct for IUCN Councillors

1. In PART I – Definitions, add the following clauses:

“Close relatives” means family members including spouse, domestic partner, ancestors, siblings (whether of whole or half-blood), children, grandchildren, and great grandchildren; and the spouses of siblings, children, grandchildren, and great grandchildren.

“Other related parties” means:

- Any partnership, limited liability company or professional corporation in which a Council member or her/his close relative(s) is a partner, member or shareholder, respectively, with direct or indirect ownership interest in excess of 5%;
- Any entity in which a Council member serves as an officer, director, trustee, or key employee;
- Any entity in which a Council member and/or her/his close relative(s) own more than 35% of the combined voting power, profits interest, other ownership or beneficial interest, whether directly or indirectly, individually or collectively.

“Business transaction” means transactions including, but not limited to, contracts of sale, leases, licenses, loans, and arrangements for the performance of services

2. In PART IV – Conduct, section a. Disclosure of Interests:

- Amend the following paragraph as follows:

Each Council member shall compile and submit an annual disclosure form to the Chairperson of the Ethics Committee. The information to be provided in such a disclosure form shall be requested in a standard format determined by the Ethics Committee. The Conflict of interest disclosure form approved by the Ethics Committee of Council is hereafter attached as Annex 2 and constitutes an integral part of the present Code of Conduct. Disclosure forms and relevant data contained therein will be compiled by the Ethics Committee or any other person to whom the Committee delegates this responsibility. Failure by any Council member to disclose potentially relevant interests in the disclosure form will be considered by the Ethics Committee, which if necessary, shall report back to Council with its recommendations.

3. In PART IV – Conduct, section b. Conflicts of Interest:

- Amend the following paragraph as follows:

Council members have a duty to avoid any conflict of interest situation involving them, individually or directly, as well as their close relatives or other related parties. If any such conflict arises, Council members must promptly inform the Council Ethics Committee (and if appropriate the Chair of the meeting where the conflict arises) and withdraw from participation in decision-making connected with the matter. If the conflict is apparent or potential rather than actual, Council members should seek the advice of the Ethics Committee of Council about whether they should recuse themselves from the situation that is creating the appearance of or potential for conflict.

Performance Commitment for IUCN Councillors

(To be read by each candidate accepting a nomination to become a member of the IUCN Council. All elected and appointed Councillors are invited to sign this commitment at the time of their nomination or appointment.)

Background

The IUCN Council is taking steps to improve the effectiveness and efficiency of its governance system. Effective members of Council are a critical part of the IUCN governance system. One of the steps being taken to ensure an effective Council is to strengthen the nomination process for Councillors to ensure that criteria and expectations of what it means to be an IUCN Councillor are clear when nominations are accepted, and that Councillors make a commitment to fulfil these criteria.

The following Commitment sets out a minimum level for your participation and input to the work of the IUCN Council. Your commitment as a member of the IUCN Council is to be seen in the broader context of the overall role of the IUCN Council as set out in Articles 37–65 of the IUCN Statutes.

Performance Commitment

As a duly elected member of the IUCN Council, I agree to do my best to fulfil my duties as an individual Council member. These are to:

1. **Participate fully in the work of the Council**, by
 - a) taking part in official Council meetings as notified by the Secretariat at least one month in advance. This may include physical attendance or video- and tele-conferencing;
 - b) providing meaningful responses to official Council communications requesting comments and inputs to such Council matters as minutes, committee proposals and decisions on any matters on the Council agenda; and
 - c) participating in subcommittees and Task Forces of the Council, whether as assigned by the President or on a voluntary basis.

If, for any reason, I am not able to attend duly notified Council meetings for a prolonged period of time (three consecutive Council meetings) or to participate by some other means (telephone, email) to the satisfaction of the Bureau of Council, I agree to step down from my position as Council member and to allow the Council to replace me, as provided under the Statutes (Article 64).

2. **Serve on the Council of IUCN on a voluntary basis**, receiving no financial payment for my work as a Council member, other than reasonable reimbursement of expenses incurred in carrying out my Council duties, as set out in the Statutes (Article 63).
3. **Abide by accepted codes of conduct** and duties, specifically the Code of Conduct for IUCN Councillors which forms an integral part of this Agreement. I will review and avoid any potential conflict of interest and each year submit the conflict of interest disclosure form to the Ethics Committee of Council.

4. **Comply with all applicable laws and regulations of IUCN** relating to Council members.
5. **Respect the confidentiality of all information** declared by the Council to be confidential and received by me in any medium, including verbal, electronic or written.
6. **Remain accountable to the constituency of IUCN** – the membership.
7. **Acknowledge that**, if I am not able to fulfil these obligations as a Council member to the satisfaction of the Council, **Council has the right to suspend and expel me** subject to Article 64 and Article 65 of the Statutes, and to find a suitable replacement for me on the Council of IUCN.

Signature of IUCN Council member

Date

Agenda Item 8

Council Handbook

Origin: Secretary to Council

REQUIRED ACTION

Council is invited to approve the Council Handbook presented to the 92nd Council Meeting (February 2017) with the amendments already approved by the Bureau and pending the approval of additional amendments to the Code of Conduct for Council members at Council's 93rd Meeting (November 2017).

1. Following Council's request (88th Meeting, April 2017) to incorporate all "Enhanced practices and reforms of IUCN's governance" approved by Council at its 88th Meeting, a revised version of the Council Handbook 2003 was presented to the Council Retreat and 92nd Council meeting in February 2017 together with a request for advice from the Governance and Constituency Committee (GCC) and from Council's Ethics Committee before the Council Handbook can be finalized and approved.
2. The Governance and Constituency Committee (GCC) recommended to maintain three performance tools of the Council Handbook 2003 albeit with some modifications. Cf. [Bureau document B/71/5.3/1](#). At its 71st Meeting (August 2017), the Bureau provided advice as follows:
 - a. To harmonize the Performance Commitment with the Conflict of Interest Disclosure Form under development by the Ethics Committee. Cf. the Ethics Committee proposals to the 73rd Bureau Meeting (18 November) in [document B/73/7](#) including revisions to the Performance Commitment.
 - b. To postpone the consideration of any form of individual IUCN Councillor Activity Report until the question of support to Council members has been studied.
 - c. To request the GCC to review the Self-Assessment of IUCN Council members and Evaluation of the IUCN Council Meeting in light of the feedback from Bureau members.

While the Performance Commitment (litt. a. above) is the object of a concrete proposal before the Bureau / Council, the work on Councillor Activity Report and the Self-Assessment of Council members and Evaluation of IUCN Council Meeting has not yet been completed.

3. At its [70th Meeting \(May 2017\)](#) the Bureau approved two recommendations of the Ethics Committee:
 - a. The addition of a new provision in the Code of Conduct for Council members concerning Conduct in the process of selecting the venue of the next World Conservation Congress;

- b. A new §35 and Annex 4 to the Handbook concerning Examples of the implementation or interpretation of the Code of Conduct
4. The Ethics Committee approved the “Conflict of Interest Disclosure Form” as required by the Code of Conduct for Council members and proposes a small number of consequential amendments to the Code of Conduct which are on the agenda of the 73rd Bureau meeting (18 November 2017). See [Bureau document B/73/7](#).
5. There is currently a vacuum as the 2003 Council Handbook is outdated and the revised Handbook has not yet been approved. It is important to apply, publish and share with internal/external audiences a version of the Council Handbook that is updated and approved by Council. Work on the issues referred to above may continue without standing in the way of Council approval. The IUCN Council is therefore invited to approve the version of the Council Handbook proposed to the 92nd Council (version 23 January 2017) with modifications as follows, which are shown with track changes in the copy attached hereafter:
 - a. Incorporating the amendments approved by the Bureau (70th Meeting, June 2017);
 - b. Incorporating the amendments to the Code of Conduct proposed by the Ethics Committee subject to their approval (73rd Meeting of the Bureau and the 93rd Council Meeting);
 - c. Removing §35 pending resolution of issues raised at the 70th Bureau Meeting concerning the recommendations of the Ethics Committee;
 - d. Removing §36 because overtaken by the Conflict of Interest Disclosure Form approved by the Ethics Committee;
 - e. Correcting a small number of material mistakes (§125 and p. 9 of the Code of Conduct) and an update of §30 imposed by changing legal requirements (Registre du Commerce).



Council Handbook

~~January~~ November 2017

(Revision of the Council Handbook commissioned by the IUCN Council - decision C/88/7, April 2016. The Council Handbook was first issued in 2003 and modified in 2005, 2009 and 2011)

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1. Role and functions of the IUCN Council

In general

§1 A “component” of IUCN, the Council fulfils the role of what is commonly called the board or governing body in a corporate entity.

§2 The Council has the “*responsibility for the oversight and general control of all the affairs of IUCN subject to the authority, direction and policy of the World Conservation Congress*” (hereafter the “Congress”) which remains the highest organ of IUCN.

§3 The Council’s main roles are to:

- set strategic direction and policy guidance for the work of the Union;
- provide oversight and guidance on the performance of the components of the Union as a whole and of the Director General in particular, encouraging coherence among its component parts;
- fulfil its fiduciary responsibilities to the Members of the Union and render account to them on the achievement of the Union’s objectives; and
- support the Director General in communicating IUCN objectives and policy, and IUCN Programme to the world community.

§4 While the Council’s main functions are defined in Article 46 of the Statutes, it has been assigned additional functions in more than 100 provisions of the Statutes, Rules and Regulations as well as in Resolutions, Recommendations and other decisions of the Congress. A list of all provisions of the Statutes, Rules and Regulations defining functions of the Council can be found in Council Decision C/88/7.

§5 Among the most important functions of Council are:

- **in its role to set strategic direction:**
 - give rulings on policy within the general policy of IUCN laid down by the Congress [Stat 46 (a)]
 - provide strategic direction in relation to the development of the draft IUCN Programme and approve the draft IUCN Programme for submission to Congress [Stat 46 (c)]
 - comment on the Financial Plan for the next intersessional period before its submission to Congress [Stat 88 (e)]
 - appoint the Director General [Stat 46 (k)]
- **in its oversight role:**
 - provide oversight and guidance on the performance of the components of the Union [Stat 37 (b) (ii)]
 - review the work of the Commissions [Stat 46 (f)]
 - receive from the recognized National and Regional Committees a report on their activities once a year [Reg 66 (d)]
 - evaluate the work of the Director General [Stat 46 (k)]
 - review regularly the implementation of the IUCN Programme [Stat 46 (e)]

Article 15 of the [IUCN Statutes](#) lists the “components” of IUCN. Hereafter, the provisions of the Statutes are referred to in an abbreviated way, e.g. Stat 15

[Stat 37](#)

[Stat 37](#)

The roles were defined by the 2012 Congress, Decision 24 ([Proceedings](#), p. 49) at the proposal of the Council. See [Congress document WCC-2012-9.4.1/2](#), in particular the “Explanatory Memorandum”

[Stat 46 \(r\)](#)

[Council Decision C/88/7](#) (April 2016), Annex 2, pp. 30-34

See in this regard the [Policy Overseer Procedure approved by Council C/74/17 \(June 2010\)](#)

The components of IUCN are ([Stat 15](#)):

1. Congress
2. Council
3. National and Regional Committees and Regional For a
4. Commissions
5. Secretariat

- approve the annual report of the Director General and the audited financial statements [Stat 46 (g)]
- **in its fiduciary role:**
 - approve the Work Plan and Budget for the following year [Stat 46 (e)]
 - report and propose motions to the IUCN Members and the Congress on any matter relating to the activities of IUCN [Stat 46 (d) and (p)]
 - schedule and convene the Congress [Stat 23] and make preparations for it including to determine qualifications required for candidates for election to Council [Reg 31] and nominating candidates for President, Treasurer and Commission Chairs [Stat 46 (l)]
 - admit new IUCN Members [Stat 46 (i)]
 - recognize National and Regional Committees [Stat 46 (h)]
 - amend the Regulations [Stat 101]

What Stat 46 (e) refers to as annual “programme” is in fact the annual work plan which Council approves every year

§6 Instead of repeating the long list of statutory provisions, the following section of the Council Handbook focuses on the decisions taken by the IUCN Council (2012-16) to enhance Council’s strategic direction and oversight roles.

§7 To empower the Council to focus on its strategic direction and oversight functions, the Council “delegated” a number of its 100+ functions to the Bureau and the standing committees of the Council. For more detail about the additional responsibilities of the Bureau and the standing committees of Council, see hereafter section 11 about the Bureau and section 12 about the standing committees.

Actions taken by Council to strengthen its strategic direction and oversight roles

§8 As part of the “Enhanced practices and reforms of IUCN’s governance” approved by Council in April 2016 (Decision C/88/7) in response to the “[External Evaluation of Aspects of IUCN’s Governance](#)”, the Council took the following specific measures to enhance its strategic direction and oversight role:

- a. To enhance its **strategic direction**, the Council will:
 - i. develop and approve strategic objectives and priorities for its work, to be adopted at the latest at the second (ordinary) meeting following the Congress, together with a 4-year work plan and a proper monitoring mechanism to be reviewed and adjusted, as required, on an annual basis;
 - ii. schedule once a year a dedicated strategic session (half a day) to scan the operating environment in which the Council finds itself and discuss strategic issues including the positioning of the Union and its long term viability. It will document actions to be taken as a result of these discussions and keep these actions under review;
 - iii. maintain a strategic risk matrix enabling Council to fully

See the [Report of the Council to the 2016 Congress](#) for an overview of the decisions of the Council 2012-16 pertaining to the governance of IUCN

See also “[Enhanced practices and reforms of IUCN’s governance](#)”, A3.2 and B3.2 (Council decision C/88/7, April 2016)

Annex 2 to [Council Decision C/88/7](#) (April 2016)
[External Evaluation of Aspects of IUCN’s Governance](#) (Universalia, November 2015)

[Reg 44bis ; Council Decision C/88/7](#) (April 2016)
Hereafter, the provisions of the Regulations are referred to in an abbreviated way, e.g. *Reg 44bis*

[Council Decision C/88/7](#) (April 2016)

[Council Decision C/88/7](#)

address the range of strategic risks facing the Union including possible changes in the external and internal operating environments. The “strategic risk matrix” synthesising major risks is presented each year to Council by the Director General;

(April 2016)
The strategic risk matrix is different from the [risk register](#) which is described below in section b. viii.

- iv. set strategic priorities for the development of the draft IUCN Programme for the next quadrennium in consultation with the IUCN membership, beginning with a full ‘strategy session’ of the Council midway through the quadrennium. Ensure that Council’s Programme and Policy Committee engages early and plays a lead role in shaping the development of the quadrennial IUCN Programme. The Council ultimately approves the draft IUCN Programme for submission to Congress for adoption.

[Stat 46 \(c\)](#) ; [Council Decision C/88/7](#) (April 2016)

b. To enhance its **oversight**, the Council will:

- i. will use the comprehensive and coherent “Planning and Reporting Framework” approved by Council in April 2016 (**Annex 2 hereafter**). The Director General, and where appropriate the Commission Chairs, will develop and present to Council the planning and reporting tools that enable Council to fulfil its planning, monitoring and oversight functions;

[Council Decision C/88/7](#) (April 2016) (Cf. in particular the table attached as Annex 4, pages 41-43, which follows [hereafter as Annex 2](#))

- ii. through the Programme and Policy Committee (PPC), oversee implementation of the One Programme Charter policy including the use of a range of Programme delivery models and mechanisms to leverage capacities and resources of IUCN Members and Commissions and increase IUCN’s reach, influence, and impact in achieving the Programme results. In addition to reporting on the Secretariat’s responsibilities under the One Programme Charter, the annual report submitted by the Secretariat to Council will progressively include data on IUCN Members’ implementation of the One Programme Charter as Key Performance Indicators (KPI) and data collection systems are being developed and IUCN Members engaged over time in fulfilling their reporting requirements;

[Council Decision C/88/7](#), Annex 2, C3. (April 2016)

- iii. commission an external review of IUCN’s governance at least every four years, to be delivered in time to inform a Council ‘strategy session’ at mid-term. The Terms of Reference and scope of the external review shall be established by Council and include the review of the IUCN Commissions. The latter will have the purpose of ensuring the necessary renewal of existing Commissions and broader renewal of Commissions or other network mechanisms to meet the knowledge generation, expert and Programme delivery needs of the Union. This review will anyway have to be done well before the date fixed for filing nominations for Commission Chairs.

[Council Decision C/88/7](#), (April 2016) Annex 2, C4 and A4.7

See e.g. the evaluation carried out by Universalia in November 2015: [External Evaluation of Aspects of IUCN’s Governance](#)

The Management Response to the external reviews of IUCN’s governance shall be made by the Council with the understanding that with regard to the Commissions, the responsibility for the Management Response shall be shared between Council and the Director General. Provision for review should be included in the IUCN budget;

- iv. add its comments to the Management's Response regarding any recommendations of the External Review that might address IUCN governance aspects. For this purpose, the Council will be informed of the Management Response to the External Review drawn up by the Director General. The External Review (to be distinct from the "External Review of IUCN's governance") focuses on IUCN Programme implementation and is commissioned by the Director General every four years for delivery towards the end of each quadrennium. The Director General will consult the Council and be advised on the draft Terms of Reference of the External Review taking into account the Director General's responsibility for the implementation of the IUCN Programme as per Article 79 (b) of the Statutes and the Council's role of approving and reviewing the IUCN Programme;
- v. improve Council's oversight of the work of the Commissions through strengthened annual performance reporting by the Chairs to the Council on outputs, outcomes, impact and resources raised against the Commission's work plan approved at the beginning of each term. This is to be integrated into the overall Union monitoring and reporting framework. Council will conduct once a year a session, with the Director General, to discuss the performance of the Commissions. While the Commissions, between sessions of the Congress, report to Council through the Commission Chairs, the Commission Chairs themselves report to the President and not the Council itself because they are members of the Council. This is further elaborated hereafter in section 7.
- vi. assess the performance of the Director General on an annual basis instead of biannually in accordance with the process described in section 6 of the present Council Handbook.
- vii. will receive from the Finance and Audit Committee (FAC) a report of the top 10-15 risks of the Risk Register with its assessment of their impact and probability. The "Risk Register" which the Head of Oversight submits to the FAC is distinct from the "strategic risk matrix" (described above).
- viii. clarify what the "Governance Compliance Inventory" approved in principle by Council in April 2016 should contain and who should present it to Council, taking into account the reports on legal liabilities which the Legal Adviser has been submitting to the FAC.

[Council Decision C/88/7](#), Annex 2, C4.1 (April 2016)

All external reviews are published on the [IUCN website](#). See e.g. the [External Review of IUCN 2015](#)

[Reg 78bis](#)

[Council Decision C/88/7](#), Annex 2, A4.5 (April 2016)

[Reg 78 \(c\)](#)

For the "strategic risk matrix", see above section a. iii.

[Council Decision C/88/7](#), Annex 2, C9.1 (April 2016)

2. Composition of the Council

§9 The composition, terms of office and the procedure for filling vacancies are described in Articles 38 to 43 of the Statutes and Regulations 45, 45*bis* and 47. The nomination and election of candidates is governed by Regulations 30 to 40*ter* and Rules 74 to 81.

The membership of the IUCN Council 2016-20 with each Council member's picture, biography and email address can be viewed on the [IUCN website](#).

These provisions are not repeated here. Instead, the following paragraphs describe additional guidance approved or applied in practice by Council on a number of issues.

Composition

§10 The amendments to the Statutes adopted by the 2012 Congress, applied for the first time during the elections at the 2016 Congress, increased the number of Regional Councillors from 24 to 28 and reduced the number of additional appointed Councillors from 5 to 1, thereby maintaining the total number of Council members at 38.

The 2012 statutory reforms also modified the distribution of the 28 Regional Councillor seats across the eight statutory regions in order to *“better reflect the concentration of high biodiversity, the size of human population and the distribution of IUCN Members in the IUCN regions, whilst taking account of cultural and social ties and political realities”*.

The additional appointed Councillor

§11 Prior to 2012, Council had the ability to “address any remaining imbalances” in the composition of the Council following the voting process at the Congress by appointing up to 5 additional Councillors. The 2012 reforms severely reduced this possibility. Not decisive which criteria to apply for the selection of candidates, the 2012-16 Council did not make an appointment.

Profile of Council members

§12 According to Regulation 31, the Council establishes criteria for the qualities required for the positions of President, Treasurer and Chairs of Commissions and makes them available to all IUCN Members at the opening of the nominations process. The Council approves the **“Profiles for the elected positions”** at least one year prior to the Congress. Although not formally required, the Council also approves a profile for Regional Councillors. The profiles are subsequently attached to the Director General’s “Call for nominations” issued to all IUCN Members in accordance with Regulations 30 and 37. The profiles describe in detail the role and responsibilities as well as the qualifications and other requirements for these positions.

§13 The **Call for nominations** for Regional Councillor candidates issued on 6 November 2015 asked IUCN Members, when making their nominations, to *“bear in mind the need for gender balance within the Council, and also for a reasonable balance between candidates from the governmental and non-governmental sectors”*. It further explained that in light of the Council’s role to set strategic direction and exercise oversight for the Union, *“nominees should be individuals able to contribute to providing strategic direction and to the discussion of specific policies, as well as to guiding the finances, Programme direction and membership development of the Union. While an understanding of conservation science is a valuable attribute in a Councillor, candidates should understand that equally important attributes are knowledge of conservation and broader social and economic policy, the running of large organizations, and the ability to*

A [list of Council members](#) (2016-20) as well as the [Council members' contact details](#) (2016-20) can be downloaded from the Union Portal.

See 2012 Congress document [WCC-2012-9.4.1/8 Rev 1 CG Stat 38 \(f\) and 39](#)

See [Stat 39](#)

Quote from the 2003 version of the Council Handbook (p. 14)

[Reg 31](#)

See [C/85/8 Annex 3](#) (May 2015) for the profiles approved for the nomination of candidates for election at the 2016 Congress

[Call for nominations 6 November 2015](#)

substantially influence the policies and practice of conservation and ecologically sustainable development in their region. While each Council member is expected to take a global view of the role of the Union in achieving its mission, it is important that Regional Councillors are also able to bring perspectives from the regions to Council and to promote the work of IUCN in the regions.”

§14 With the purpose of providing the IUCN Members with real democratic choice and of demonstrating that elected Councillors have a global role in governing the affairs of the Union as opposed to representing regional interests, the Council requested in April 2016 that the next “Call for nominations” (for the elections at the 2020 Congress) provides guidance to IUCN Members encouraging them to nominate for each Region **at least one more candidate than the number of seats allocated** for the Region concerned in Article 39 of the Statutes.

§15 When discussing a “Strategy for Gender Mainstreaming at the 2016 Congress” during its 87th Meeting (October 2015), the Council modified the Terms of Reference of Council’s Nominations Committee including in its methodology for assessing candidates for President, Treasurer and Commission Chairs: “*gender balance including one of two candidates for President, balance among Commission Chair nominees and nominees for Treasurer, depending on nominations received and qualifications*”.

Ensuring the right qualifications, skills and knowledge in Council

§16 Among the gaps in qualifications, skills and knowledge in Council described in the [External Evaluation of Aspects of IUCN’s Governance](#) (November 2015), the Council identified “strategic communications, fundraising, finance, information technology, and reach and influence into international finance, business and economic sectors”.

§17 As part of the “Enhanced practices and reforms of IUCN’s governance”, the Council resolved to address this issue in the following three ways:

- i. Strengthen the qualifications of Councillors to be elected by the next Congress through:
 - early notice to the IUCN Members of the qualifications, skills and knowledge required for the next election
 - stronger list of qualifications in the call for nominations for all Council positions including filling gaps needed by Council.
- ii. Use the possibility to include external individuals in Council committees, working groups and task forces in order to bring in needed skills and knowledge as provided for in Regulations 59 and 60 and the possibility to invite these individuals to participate as observers with the right to speak in the Council plenary.
- iii. Strengthen capacities and knowledge of IUCN for newly elected Council members including through:
 - more substantive learning opportunities about the roles, responsibilities and processes of Council at opening Council retreat;
 - mentoring of new Councillors by 2nd term Councillors.

[Council Decision C/88/7](#), Annex 2, A2. (April 2016)

For the ToR of the Nominations Committee: see [C/87/14 Annex 9](#) (October 2015)

[Council Decision C/88/7](#) Annex 2, point A1.1 (April 2016)

[Council Decision C/88/7](#) Annex 2, points A1.2 to A1.4 (April 2016)

Filling vacancies in Council

§18 Article 43 of the Statutes provides that Council may fill any vacancies for the President, Treasurer, Councillors and Chairs of Commissions that may occur, for the balance of the term concerned. With exception of the case of filling the vacancy in the Presidency of IUCN, for which the Regulations clearly state that it has to be filled from among the Vice-Presidents, there is no specific procedure for filling other vacancies. The only indication in the Regulations is that "Council shall follow, whenever possible, the procedures and conditions provided for in the Statutes for the election or appointment to the post in question". For this reason, guidance has been developed over the years as follows.

[Stat 43 and Reg 47](#)

§19 In May 2015, Council approved a standard procedure for filling a **vacancy of a Regional Councillor** as follows:

[Reg 47](#)

1. Council invites IUCN Members of the Region concerned to submit nominations;
2. Council's Nominating Committee [i.e. the Vice-Presidents acting as Nominating Committee under Regulation 48 (c) (ii)] validates the nominations put forward by IUCN Members;
3. Council invites all eligible IUCN Members to elect one of the candidates by electronic vote.

[Council decision C/85/27](#)
(May 2015)

§20 Council has also filled **vacancies of Commission Chairs** following the resignation of the incumbents which had been elected by the Congress. In 2015, in their procedural advice dated 8 July 2015, the Senior Governance Manager and the IUCN Legal Adviser explained to the Chair of the World Commission on Protected Areas that, in principle, Council needed to follow as much as possible the procedures of Regulations 30 and 30*bis* for the nomination of candidate Commission Chairs.

C/65/27 (May 2006)
appointing a new Chair of
CEESP and [B/64/1](#)
(October 2015)
appointing a new Chair of
WCPA

§21 In the case arising in 2015, however, as the vacancy had occurred close to the Director General's "Call for nominations" in the context of the 2016 elections, it was considered unnecessarily confusing and cumbersome to run two nomination processes in parallel. Instead, the procedural advice was therefore that the Steering Committee of the Commission concerned was to make a recommendation to Council of one, or maximum two 'prioritized' candidates for Commission Chair, in the spirit of Regulation 30*bis* following a consultation with the membership of the Commission concerned. This was, in addition, consistent with the precedent of May 2006 when Council filled a vacancy on the basis of a recommendation from the Steering Committee of the Commission concerned.

Cf. [Council document C/87/5.4/1](#)

§22 The situation in which a Commission Chair resigns must be distinguished from that in which the (appointed) Deputy Commission Chair acts in the place of the Chair whenever the latter is unable to act as the Chair, be it due to an absence or an incapacity of the Chair. In this case, the Council does not need to make an appointment.

Reg 46. Cf. for example
[Council decision taken by email on 27 April 2016](#) to adopt a "Process for the Council's nomination of a new candidate Chair of CEC 2017-20"

3. Individual responsibilities of Council members

Statutory Responsibilities, Liability and Accountability

§23 Councillors have a “fundamental obligation to serve IUCN with **diligence and integrity**” (Article 59 of the Statutes). They must **disclose any potential conflict of interest** on matters under consideration by the Council and refrain from participating in the discussion and voting on these matters (Article 60 of the Statutes), and cannot vote on matters where they or their close relatives have any legal or financial interest (Article 61 of the Statutes). In addition, they **cannot receive any remuneration from IUCN** or any component of IUCN other than reimbursement for expenses incurred in the discharge of their duties [Article 63 of the Statutes and Regulation 48 (a)]. This is further elaborated in the Code of Conduct; see also hereafter §34.

[Stat 59-63](#)

§24 Members of Council **serve in a personal capacity**, not as representatives of their respective States or organizations (Article 62 of the Statutes). Council members may contribute a regional perspective but are expected to give precedence to the best interests of IUCN. Council has put its faith in the individual Council member’s capacity to serve well as a Council member, not as a representative acting under instruction. Without this distinction, the autonomy of Council would be lost and artificial divisions would arise.

§25 Council members should inform and obtain input and feedback from IUCN Members, National and Regional Committees, and Regional Fora on the provisional agendas for upcoming Council meetings and on their reporting the results of Council meetings to IUCN Members. The Councillors’ role is to provide explanations on the agenda, encouraging Members to provide input to global decision making and to promote Council decisions, through submission of comments to the Director General prior to meetings of Council.

[Code of Conduct for IUCN Council members](#), Part IV j. 8.

§26 Council members shall maintain an **effective relationship with the Director General** and, through him/her, the Secretariat staff in view of enabling them to work to the same purpose through clarity of and respect for the authority and responsibilities of Council and the Director General, respectively, and with the highest professional and ethical standards.

[Reg 48 \(b\)](#)

§27 Article 65 of the Statutes provides for the **suspension and expulsion of a Council member** if s/he “acts in a manner seriously inconsistent with that Council member’s duties”. Such action has to be taken by the Council by a two-thirds majority of the votes cast. If warranted, Council can also authorize legal action against an expelled Council member to recover any IUCN assets taken or damaged by that individual.

§28 A Council member’s position on Council may be declared vacant if that person is **absent from three consecutive meetings of Council** without having been given leave of absence, i.e. provided good justification approved by Council (Article 64 of the Statutes). Since Council’s approval of “Enhanced practices and reforms of IUCN’s

[Council Decision C/88/7](#), Annex 2, point A3.2 (April 2016). See also [Reg 57](#)

governance” (April 2016), this authority has been “delegated” to the Bureau. Note in this regard the longstanding practice, originating in a decision of the Council, to indicate in brackets in the Call for nominations the number of Council meetings which each Regional Councillor attended since the last session of the World Conservation Congress.

and the Rules of Procedure of the Bureau, paragraph 2 (Annex 1 hereafter)
See e.g. the [Call for nominations 6 November 2015](#)

§29 Councillors are protected against the **risk of legal liability** by the Statutes, which specify that “IUCN shall indemnify members of Council, to the extent permitted by law, against claims arising from the normal exercise of their functions” (Article 93 of the Statutes). A copy of the insurance policy is available upon request from the Secretary to Council.

Registre du Commerce

§30 In accordance with the Swiss Law of Associations, IUCN has been registered in the (cantonal) Registre du Commerce (the equivalent to “Company House” in the UK) and is required to update the registered information (ORC 27), including personal information of all Council members [ORC 24 a) and b)]. This information includes name, birth date, origin, postal address and copy of their passport.

ORC: Ordinance
“Registre du commerce”
CO: Code of Obligations

Most modifications (updates) of the Registre du Commerce must be

- i) signed by ~~atwo members~~ of the Council authorised to sign ~~[ORC 21; CO 931 a)]~~ and
- ii) supported by evidence of a decision of Council or Congress, as appropriate (ORC 23).

This obligation finds its origin in Swiss Law and does not in any way modify the decision and signatory authorities established in IUCN’s Statutes.

§31 For practical purposes, the Council has appointed, in addition to the President, the Treasurer and the Councillor from Switzerland as members of Council with the authority of the Council for any two of them to sign jointly on behalf of IUCN.

See e.g. [Council decision C/91/5](#)

Code of Conduct for IUCN Council members

§32 The duties of Council members are further defined, and explained with more detail, in the Code of Conduct as:

- Reasonable care
- Loyalty
- Respect
- Transparency
- Confidentiality.

[Code of Conduct for IUCN Council members](#)
approved by Council at its 68th Meeting (November 2007) and modified by the 73rd Meeting of Council (November 2009) and the 75th Meeting of Council (November 2010), attached hereafter as [Annex 3](#)

§33 Part IV of the Code of Conduct requires Council members to observe the highest standards of ethical conduct which it defines with much detail. Some of these standards of conduct which on occasion give rise to questions are highlighted hereafter.

§34 **Conflicts of interest.** Part IV b. of the Code of Conduct provides

Comment [LdW1]: This concerns a correction imposed by changing legal requirements. According to the Legal Adviser, the practice of the Registre du Commerce has changed: instead of one, they now require two signatures to update the registration of IUCN.

a definition of conflict of interest. Whenever a Council member is in a conflict of interest situation as defined in the Code, that Council member is under an affirmative duty of disclosure to the Ethics Committee and shall refrain from participation and voting on those matters as already mentioned in §23. If the conflict is apparent or potential rather than actual, Council members should seek the advice of the Ethics Committee of Council about whether they should recuse themselves from the situation that is creating the appearance of or potential for conflict.

~~§35 In Annex 4 hereafter, the Ethics Committee for a record and for additional guidance to the Committee will, from time to time, insert examples of the implementation or interpretation of the Code of Conduct. These examples will be based on determinations made by the Ethics Committee in concrete cases or in response to requests for clarification or guidance from Council.~~

~~The ToR of the IUCN World Heritage Panel are public on the IUCN website as a requirement of the World Heritage Committee~~

Comment [LdW2]: Approved by the Bureau, 70th meeting, June 2017 on the recommendation of the Ethics Committee.

~~§35 An interesting case in this regard is paragraph 13 of the Terms of Reference (and related Code of Conduct) of the IUCN World Heritage Panel; "In view of IUCN's Statutes, and in particular the role of IUCN Council in the overall governance of the Union, members of IUCN Council may not represent IUCN in field evaluation missions, nor serve as members of the Panel". This is a result of IUCN being defined in the World Heritage Convention as the independent advisor directly to the Convention's principal decision taking body, the World Heritage Committee, an elected intergovernmental body. Given that the accountability for IUCN's advisory role on World Heritage is vested in the Director General, and delegated by her to the IUCN World Heritage Panel, it would also be inappropriate and present a perceived or real conflict of interest to see members of Council, which has the general oversight of IUCN, in a role on the IUCN World Heritage Panel of being accountable to the Director General.~~

Comment [LdW3]: Removed pending resolution of the issues raised at the 70th Meeting of the Bureau (June 2017) regarding the Ethics Committee recommendation EC/1/2. (Cf. Summary minutes of the 70th Bureau Meeting)

~~§36 It is clear that Council members cannot receive consultancy contracts and be paid honoraria for IUCN project work, even if the Council member concerned signs the contract on behalf of her/his institution. Even if the Council member would not her/himself directly or indirectly receive IUCN funds under contracts concluded by her/him with IUCN on behalf of her/his institution, such a situation may affect or be perceived to affect the independence of the Council member.~~

~~The standard format for the annual disclosure not been determined by the Ethics Committee, this provision has not been implemented.~~

Comment [LdW4]: Removed because the point is covered by the Conflict of Interest Disclosure Form approved by the Ethics Committee and the consequential amendments to the Code of Conduct to be considered by the Bureau (73rd Meeting) and the Council (93rd Meeting).

§37 **Disclosure of interests.** Part IV a. requires each Council member to submit an annual disclosure form to the Chairperson of the Ethics Committee.

§38 **Consensus.** Once a final decision has been taken on a matter before Council, Council members have also a duty to support that decision.

§39 **Public statements.** According to Article 79 (e) of the Statutes, the Director General is the designated authority to issue statements in the name of IUCN. When making public statements verbally or in writing, Council members should therefore make it clear whether they are communicating in their personal capacity or on behalf of IUCN, and in the latter case, they should make it clear in what capacity and that

[Stat 79 \(e\)](#)

authority has been received from the Director General to do so. Council members may not represent any organizations in addition to IUCN at the same time whilst making any public statement, except where IUCN and such other organizations have explicitly authorized such representation beforehand. Before Council members engage in making any public statements, including speaking to the media, Council members need to ensure that they meet a number of criteria defined in the Code of Conduct, including to ascertain whether or not the matter is being dealt with in the Secretariat and obtain relevant information from the Director General who – as mentioned above - is the designated authority to issue statements in the name of IUCN (Article 79 (e) of the Statutes).

§40 **Adhere to the Code and signature.** As required by the Code of Conduct, a copy of the Code is attached to the nomination forms for any person seeking or accepting to stand for election or appointment to a position on Council. By signing a nomination to be elected or appointed as a Council member, such a candidate agrees to submit to the provisions in the Code of Conduct both during and, where relevant, after their term has expired (e.g. in relation to confidentiality, respect etc.).

§41 The Code also requires Council members to sign two original counterparts of the Code during the first full meeting of Council after the World Conservation Congress (with a special procedure for those absent from that meeting). In the event of a Council member failing to sign the Code, the individual concerned will be considered as having acted in a manner seriously inconsistent with that Council member's duties and the provisions in Article 65 of the Statutes shall apply.

The Ethics Committee of the IUCN Council

§42 Consistent with Regulation 48 (c) (iv) which provides that the Vice-Presidents assist the President, on request, in the management of Council, including the facilitation of resolution of conflicts between Councillors and of questions of ethics, should they arise [...]", the **Vice-Presidents** will constitute the Ethics Committee. The Ethics Committee shall be responsible for consideration and administration of all matters relating to the Code of Conduct and for assisting the Council in implementing the provisions of Article 65 of the IUCN Statutes and all other statutory provisions relevant to the ethical conduct of Council members. Part V of the Code of Conduct contains detailed provisions for the implementation of the Code and includes an Annex defining a "Procedure for dealing with issues submitted to the Ethics Committee for consideration and decision".

§43 The Ethics Committee of Council can be contacted via the Secretary to Council who also acts as the Secretary to the Ethics Committee.

4. The President

§44 Although the Statutes say little about the position of the President

[Code of Conduct for IUCN Council members](#), Part V c.
See the [Call for nominations 6 November 2015](#) in particular the [nomination form](#) attached to the Call for nominations of Regional Councillor candidates

[Code of Conduct for IUCN Council members](#), Part V

[Code of Conduct for IUCN Council members](#), Annex 1

Based on [Council](#)

compared with that of the Director General, the role of the President of IUCN is of particular importance to the effectiveness of both IUCN and Council. Presidents are often called upon to represent IUCN to the outside world in controversial issues, to open doors for the organization to high-level representatives of other bodies and governmental authorities, to present the case for conservation and IUCN at global conferences, and to increase IUCN's visibility among non-conservationists by lending their credibility to the Union's cause. In view of the above mentioned Article 79 (e) which designates the Director General as the person authorized to make statements on behalf of IUCN, it is important that the President coordinates with the Director General and the Secretariat prior to making public statements.

§45 The President may be nominated by Council or by IUCN Members for election by the World Conservation Congress. However, Council is expected to set out criteria for the qualities required in a President. The requirement in Article 42 of the Statutes, limiting Council members to two consecutive terms in any office, applies to the President as well. The Regulations provide that in the case of a vacancy in the Presidency, Council will fill the position from among the Vice-Presidents.

§46 The President may convene a meeting of the Council whenever necessary, even during the Congress, and shall do so if requested by one-third of the members of the Council. The President usually chairs the Congress and Council meetings, and presides over the Bureau. The same rules regarding commitment and performance that govern individual Councillors also apply to the President.

§47 The President plays a major role in setting up the Bureau and Council Committees. As part of the Council approved "Enhanced practices and reforms of IUCN's governance", the Council confirmed that, as was practiced at the first ordinary Council meeting of the 2013-16 term, the four Vice-Presidents, the Chairs of the standing committees of the Council and the two Regional Councillors members of the Bureau may be appointed by consensus decision of the Council on the proposal of the President following consultation with Council members. This has been considered the best way to try to build consensus in the Council and thereby strengthen the credibility of and trust in the bodies that Council will establish to assist it to fulfil its mandate. In this regard, making the comparison with a parliament receiving the prime minister's proposal for the cabinet, the IUCN President should have the possibility to consult and build consensus, and only call for a vote or an election if consensus does not appear to be possible. It is also a good way to ensure an appropriate geographical and gender distribution in the Bureau (required by Article 46 (j) of the Statutes) and the appointment of individuals with the necessary qualifications, commitment and availability to properly exercise the duties inherent in these functions.

§48 But perhaps the most critical demand on the President is to develop a positive working relationship with the Director General, who should be able to feel confident enough to bring issues to the President for advice and counsel. Both the President and the Director General should view their mutual relationship as a partnership, and see their

[Handbook \(2003\)](#), p. 27

[Stat 79 \(e\)](#); see above §39

[Stat 27; Reg 30-35](#)

[Reg 31](#)

[Reg 47](#)

[Stat 51; Reg 50](#)

[Stat 26, 52; Reg 57 \(a\)](#)

[Council decision C/88/7](#), pp. 22-23 point A3.1 (April 2016)

This new practice has been codified in the Rules of Procedure of the Bureau, paragraph 4 (Annex 1 hereafter)

For the practice in 2013-16, see the [summary minutes of the 81st Council meeting \(January 2013\)](#)

[Reg 48 \(b\)](#)

mutual effectiveness as linked to the quality of their working relationship.

§49 The President's prime duty is to be an effective Chair of Council and show leadership in the Council's discharge of its Statutory functions. Just as the Director General is responsible for the effective management of IUCN operations and programmes, the President is responsible for the productivity and conduct of Council. The President establishes a model for Council's relationship with the Director General and Secretariat staff, and encourages productive and respectful relationships among Council members. The President helps to focus the Council's attention on the policy and governance needs of the Union by shaping appropriate agendas for Council meetings, ensuring that Council members have the information they need to fulfil their oversight responsibilities, and conducting Council meetings and discussions in a way that leads to constructive decision-making and planning.

§50 Given the international nature of IUCN's work and the logistical challenges of bringing together Council members from distant locations for meetings, the President should review carefully the leadership and effectiveness of Standing Committees, and how information is communicated between meetings of Council. It is particularly difficult to balance the demands of efficient decision-making with the desire to involve the full Council in this function. The President should ensure that appointments to committees and task forces within Council are made as democratically and transparently as possible, taking also into account the expertise required for the specific tasks. The President should take the lead in defining the process for the review of the Director General's performance and making clear the parameters of the evaluation. In 2016, the Council amended the Regulations to specify that the President and Vice-Presidents comprise the evaluation committee of the Director General.

[Reg 48 \(c\) \(v\)](#)
[Council decision C/88/7](#),
Annex 2, C5 (April 2016)

§51 Within the Union, the President participates on committees, works closely with the Secretariat, and consults as appropriate on Union-wide initiatives. Since the President also plays an important role as an ambassador and representative of IUCN in building relationships with Members as well as with governmental and private sector organizations of importance to IUCN, the President's activities can be particularly significant in relation to programme development and resource mobilization.

§52 Official correspondence for the IUCN President should be addressed to president@iucn.org. The mailbox is managed by the Senior Governance Manager (Secretary to Council) and the Governance Assistant who coordinate the Secretariat support to the IUCN President.

See also the IUCN
President's page on the
[IUCN website](#).

§53 Personal correspondence for the President should be addressed to her/his private email address.

5. The Vice-Presidents

§54 The Council elects or appoints from among its members, up to four Vice-Presidents, chosen with due regard to geographical distribution and gender balance.

[Stat 46 \(j\); Reg 45 \(c\)](#)

§55 Their role as defined in the Statutes and Regulations is as follows:

[Stat 51-52; Reg 48 \(c\), 50](#)

- Chair the Council and the sittings of the Members' Assembly at the request of the IUCN President or in her/his absence;
- Support the President with advice and assistance on matters related to Council (transparency and accountability of Council, the management of Council including facilitation of resolution of conflicts between Councillors and of questions of ethics, any other duties as may be assigned to them);
- Assume membership of the Bureau of the Council (two Vice Presidents for the first two years of the term, followed by the other two Vice Presidents for the remaining two years of the term);
- Be member of the Congress Steering Committee;
- Act as Ethics Committee of Council;
- Act as the Nominating Committee for the election of the Bureau, the committees of Council and the appointment of the additional Councillor;
- Together with the President, constitute the evaluation committee of the Director General.

See also the [Profile of Vice-President](#) attached as Annex 4 to the President's letter to Council of 11 December 2012

6. The Director General

§56 **Role and functions.** The Director General is the chief executive of IUCN and the head of the IUCN Secretariat, as well as the head of the secretariat for the Congress. Her/his functions and duties are defined in the Statutes and the Regulations.

[Stat 78](#)
[Stat 79-84 and 88; Reg 88-90](#)

§57 The position of Director General, priorities and core competencies (Terms of Reference) are described in the "Vacancy Announcement Director General" approved by Council in November 2013, Annex 2, pp. 25-28.

[ToR of the DG](#), p. 24 approved by email ballot of the Council, 4 November 2013

§58 **The Director General and the Council.** The Director General shall be subject to the authority of the Council. The Director General or her/his representative is entitled to attend and speak at meetings of the Council and any subsidiary body established by the Council without the right to vote.

[Stat 78](#)

[Stat 80](#)

§59 As the chief executive of IUCN, the Director General presents proposals on management and is expected to give Council the information essential to deliberations as well as to enlighten its members about the operations of IUCN and provide a link between Council and Secretariat staff. In this role, the Director General may be supported by other senior staff from the Secretariat. The Director General plays a significant role in contributing to the effectiveness of

Council. He or she has access to information of value to Council deliberations and is responsible for providing such information to Council on a timely basis. Between Council meetings, the Director General also facilitates communications between management and Council, and assists Council committees in the performance of their functions. In this respect, a positive relationship with the President can play a significant part in the Director General's effectiveness.

§60 The Director General submits annual **work plans and budgets, and reports**, to Council in accordance with the **Strategic Planning and Reporting Framework** approved by Council. The Director General submits the (corporate) annual report for approval to the Council as well as the audited financial statements. In addition, the Director General presents to each meeting of the Council a verbal report on the accomplishment of her/his functions since the previous Council meeting. Since 2012, the Director General has also issued monthly activity reports for all Secretariat staff and Council.

§61 **Director General's performance evaluation.** In April 2016, the Council modified the procedure for the Director General's evaluation approved in 2011 included in the Council Handbook to specify that Council establishes performance objectives and the President and Vice-Presidents assess the performance on an annual basis instead of biannually, and for the results to be reported to Council annually in a closed meeting.

§62 The procedure henceforth reads as follows:

1. The Council approves annual performance objectives for the Director General. The procedure approved in 2011 specified that the objectives be formulated along 5 core areas of performance in keeping with the One Programme Charter (promoting synergies among all strands of the Union):
 - Strategic Leadership in conservation
 - Fundraising and Financial Management
 - Operational and Change Management
 - Programme Management
 - External Liaison and Public Image
2. The President and Vice-Presidents who together form the evaluation committee of the Director General, assess the performance on an annual basis.
3. The President reports the results annually to Council in a closed meeting. The procedure approved in 2011 specified that the evaluation be based on:
 - the objectives approved by Council
 - the Director General's self-assessment
 - the results from an electronic 360° feedback questionnaire.

§63 **Recruitment of a Director General.** In the absence of detailed provisions in rules and procedures, this section lists the steps which have been taken in the most recent selection processes:

- the Council or its Bureau decide to establish a Search Committee for the selection of the IUCN Director General
- the Council or the Bureau appoint the members of the Search

Annex 2 hereafter. See also p. 4, section b. i.

[Stat 46 \(g\) and 83](#)

[Council decision C/88/7](#), Annex 2, C6. (April 2016)

Council decision C/76/5 (May 2011) had modified the procedure described in the Council Handbook (2003)

See e.g. [C/88/28 \(Annex 21\)](#) (April 2016) for the Director General's Objectives 2016

[Req 48 \(c\) \(v\)](#)

See e.g. Bureau decision [B/60/5 of 17 June 2013](#), Annex 1

Cf. the [Bureau decision of 26 August 2013](#) adopted by email exchange establishing the Search Committee (consisting of the

Committee for the IUCN Director General

- Council approves the Terms of Reference of the Search Committee for the IUCN Director General, the Terms of Reference of the IUCN Director General (or the vacancy announcement), the process and timeline, and the cost estimate or budget of the recruitment process
- the Council appoints the Director General.

President, the 4 Vice-Presidents, 1 Commission Chair and 1 Council member with a legal background)

Cf. decisions approved by email ballot of the Council on 4 November 2013:

1. [ToR of the Search Committee](#), pp. 25-26
2. [ToR of the DG](#), p. 24
3. [Process and timeline for the recruitment of a new Director General](#)
4. [Estimated cost of the recruitment of the DG](#)

Cf. [Council decision of 27 August 2014 \(by email exchange\) appointing the Director General](#), p. 33

7. The Commission Chairs

§64 This section focuses on specific responsibilities of the Commission Chairs as members of the Council and does not repeat the provisions of the Statutes and Regulations regarding the Chairs' authority and responsibilities as chairs of the Commissions.

§65 Since April 2016, the Regulations make it very clear that between sessions of the Congress the Commissions are accountable and report to the Council through the Commission Chairs while the Commission Chairs are accountable and report to the President and not the Council itself because Commission Chairs are full voting members of the Council.

[Reg 78 and 78bis](#)

§66 New Regulation *78bis* enhancing **Council's oversight of the work of the Commissions** through strengthened annual performance reporting, and an annual session of the Council to discuss the performance of the Commissions, has been mentioned above in the section "Strengthening Council's strategic direction and oversight roles".

See section b. v. on p. 4

§67 The President, in the presence of the Director General, shall undertake an **annual appraisal of the performance of each Commission Chair** in relation to the annual work plan and the mandate of that Commission. The process used to be agreed between the President and the Chairs at the beginning of each term. During the term 2009-12 and again in 2013-16, the performance appraisal comprised 360° anonymous feedback carried out at mid-term by the Global Human Resources Group with the help of an electronic tool. In the year preceding and that following the feedback questionnaire, the President, Director General and the Chairs held a group meeting to discuss issues and take measures to improve the functioning of the Commissions.

[Reg 78 \(c\)](#)

§68 **Potential conflict of interest.** Commission Chairs are members

of the Council. To avoid possible conflicts of interest, Regulation 78 (b) was amended in April 2016 in order to require each Commission Chair to recuse her/himself from the Council discussion and decision/vote concerning their respective Commission's Operation Fund. In other words, once each Chair has presented her/his proposals for her/his Commission's draft Commission Operation Fund, they refrain from intervening in the discussion. When the discussion is concluded, the President will invite them to respond to the comments made, following which the President will invite the Council to take a decision. The Chairs of the Commissions will recuse themselves from voting.

[Reg 78 \(b\)](#)

§69 The same protocol applies to the discussion and approval of the draft Commission mandates to be proposed by Council to Congress.

§70 Note that Regulation 78 (b) is written in the singular form when describing the protocol for the approval of the Commission Operation Fund and in the plural form when doing so for the Commission mandates. It means that a Chair may intervene in the discussion about the Operation Fund of another Commission than her/his own, while none of the Chairs may intervene in the discussion of any of the draft mandates of the Commissions.

Cf. the [summary minutes of the 88th Council meeting](#), p. 8

§71 **Deputy Commission Chairs.** Deputy Commission Chairs are appointed by Council on the proposal of the Chair of each Commission and shall act in the place of the Chair whenever the latter is unable to act as the Chair.

[Stat 46 \(m\) and Reg 46](#)

§72 According to Article 44 of the Statutes, the Deputy Chairs of IUCN Commissions shall be entitled to participate in meetings of the IUCN Council and shall be entitled to vote in the place of the Chair of their Commission when that Chair is absent.

"Absent" has been applied in a restricted way, to mean: absent from the venue of the Council meeting, taking into account that a Commission Chair, as every other Council member, has only one vote; the Deputy Chair is not a member of the Council or a Council committee; and the Deputy Chair is only authorized to act in the place of the Chair when the latter is unable to act. If present at a Council meeting together with her/his Commission Chair, the Deputy Chair may observe the meeting of the Council or the Council committees, and her/his travel and accommodation costs will have to be borne by the respective Commission Operation Fund.

8. The Secretary to Council

§73 **Role and function.** In April 2016, the Council formalized in the Regulations the function of 'Secretary to Council', with the purpose of ensuring that:

[Reg 56bis](#)

- independent advice and support to the President and Council was available, in the sense that the Secretary should be able to work in confidence with the Council on matters on which the Council expects confidentiality;
- Council adhered to the provisions in the Statutes, Rules of

Procedure of the Congress and Regulations related to Council and its subsidiary bodies.

§74 **Appointment.** Should the incumbent leave his or her position as Secretary to the Council, the Director General will appoint the Secretary to Council after consulting the Council and the President with regard to the proposed candidate.

§75 During the 88th Meeting of the Council (April 2016), the Director General explained that when the Secretariat delivers a service to Council, there will always be consultation with the Council. Such a service may at times include confidentiality. But the employment contract of the member of the Secretariat staff appointed to act as Secretary to Council including the salary level and the performance review will be made by the Secretariat. It was important to provide continuity and safeguard the position of Secretary from becoming “political”.

[Council decision C/88/7](#), paragraph 8 & Annex 2, B2.4. After clarifying that the Senior Governance Manager had the responsibility to service the Council, the Council approved the Director General's appointment of the incumbent of the position as Secretary to Council. Cf. also the [summary minutes of the 66th Bureau February 2016](#), p. 3 and the [summary minutes of the 88th Council meeting](#), p. 4

9. The IUCN Legal Adviser

§76 **Role and function.** The Legal Adviser provides the legal advice and services described in Regulation 85 to all components of IUCN and in particular to the World Congress, the Council and the Secretariat (Stat 85 and Reg 85). This advice covers governance matters (e.g. any matter related to IUCN's governing bodies and statutory documents) and corporate matters (e.g. any matters related to the conduct of the business of IUCN).

[Stat 46 \(o\), 85 and 86](#);
[Reg 45 \(d\), 85-87](#)

§77 In addition, the Legal Adviser is in charge of monitoring and ensuring the accuracy of the electronic voting process (Reg 94f), both in the framework of the motions process and in inter-sessional votes of Members.

§78 **Appointment.** The IUCN Legal Adviser is appointed by Council at the recommendation of the Director General and for a term to run concurrently with its own, which means that the appointment of the Legal Adviser is on Council's agenda at the beginning of each term. In April 2016, the Council “delegated” this function to the Bureau. It has been a constant practice not to appoint a new Legal Adviser for each term but to confirm the appointment of the current incumbent in order to ensure continuity.

Cf. [Annex 1 hereafter](#)
(Appendix to the Rules of Procedure of the Bureau)

§79 **Legal Adviser and Council.** The Legal Adviser participates and has the right to speak at meetings of the Council and all its subsidiary bodies without the right to vote (Stat 86). S/he provides independent legal advice and opinions on all matters that may be referred to her/him by Council, its subsidiary bodies or members of the Secretariat for final review and/or advice. This includes the review of specific issues or documents and the interpretation of, and drafting of new provisions or amendments to the Statutes, Rules and Regulations.

10. Meetings of the Council

§80 **Rules of Procedure.** The rules of procedure of the Council are articulated in Articles 51 to 57 of the Statutes and Regulations 49 to 56. The following paragraphs highlight some of the procedures while describing how they have been applied in practice or how the Council has decided to implement them.

§81 **Frequency of face-to-face meetings.** The Statutes prescribe that the Council must meet at least once a year (Article 51). The practice has been to meet twice each year with the Bureau and Council committees and task forces meeting intermittently, as required, by electronic means or telephone, or holding discussions and adopting decisions by electronic mail.

§82 **Venue.** In 2011, the Bureau decided at its 55th meeting “to explore opportunities to hold one Council meeting outside the IUCN Conservation Centre where dedicated funds to cover incremental costs have been secured, and there is a demonstrated opportunity to increase IUCN profile and influence and/or make a major contribution to advancing the conservation agenda”. Following financial commitments received from the hosts concerned, the Council met in New Delhi (India) in November 2011 and in Hainan (China) in October 2015. The Council also decided to convene in Sydney in November 2014 at the occasion of the World Parks Congress following Council approval of additional unbudgeted expenditure. It has also been the practice to hold short (half a day) meetings on the eve of the opening of the Congress and immediately following the closing of the Congress.

§83 **Format.** At the same 55th meeting, the Bureau also decided to “fix the period for face-to-face meetings of Council at 4 days, including Committee and Task Force meetings”. Since then, the practice has been to restrict the Council meetings to 3 days, including two days of plenary meetings and one day of standing committee meetings, preceded by one day for meetings of task forces and working groups (e.g. the Bureau, the Congress Preparatory Committee, the Nominations Committee, subgroups of the standing committees (e.g. the GCC subgroup on governance issues), the Private Sector Task Force).

§84 As part of the “Enhanced practices and reforms of IUCN’s governance”, the Council advised that the mode of Council and subsidiary body meetings/work should go beyond the face-to-face meetings and involve more and improved means for online communication and meetings of smaller groups (with the cost-effectiveness properly analysed). Council should also apply a diverse range of meeting methods leading to strategic decision-making and adequately support the Chair (President, Vice-Presidents)

§85 **Agenda preparation** for each Council meeting starts with strategic guidance and priority setting by Council at the end of the previous meeting and subsequently involves the Chairs of the subsidiary bodies of the Council. The President and Director General finalize the draft agenda for Council approval. The agenda indicates (with a colour code) which items constitute strategic direction, oversight or fiduciary responsibility of Council.

[B/55/4 \(15 February 2011\)](#)

[C/83/19 \(May 2014\)](#)

[B/55/4 \(15 February 2011\)](#)

[Council decision C/88/7, Annex 2, B2.2 and B2.3 \(April 2016\)](#)

[Council decision C/88/7, Annex 2, B2.1 \(April 2016\)](#)

§86 **Quorum.** The quorum is half of the members of the Council, whether present in person or by proxy. In other words, if the Council is composed of 37 members, 19 of them present at a meeting or represented by proxy, may take valid decisions. If the quorum is not obtained, decisions must be validated by the full Council by email ballot.

[Stat 54](#)

§87 To prevent this from happening, Council members who are not able to participate in a Council meeting, or part of it, are encouraged to give a proxy to another Council member, as appropriate, with instructions of how to speak or vote on her/his behalf. To be valid, a proxy must be given to another Council member present at the meeting who will inform the Chair. In practice, proxies are given by email from the proxy giver to the proxy holder, at any time before or during the meeting, with copy to the Council Secretary who will inform the Chair. A Council member may only accept 2 proxies.

[Stat 57; Reg 56](#)

§88 **Decision making.** Although the Statutes provide that decisions shall be taken by a simple majority of the votes cast, in practice, most decisions are adopted by consensus, i.e. in the absence of objections, and a vote is taken only when, in the opinion of the Chair, a consensus is not possible or upon request of Council members. Until 2009, at the beginning of each meeting, the Council used to adopt “Council’s Rules for Motions” which required that any motion or amendments to motions be “moved” and “seconded” before being discussed, and motions be subsequently put to the vote. In 2009, the rules for motions were included in the Council Handbook as Annex II thereby discontinuing the practice of adopting them at every meeting.

[Stat 55 and 56; Reg 55](#)

[Reg 53](#)

Council decision C/72/2
(February 2009)
[Council Handbook \(2003\)](#), Annex II

§89 However, since that time, the consensus decision has in practice replaced the majority vote for most of the decisions taken during physical meetings of the Council. After ensuring that all views have been heard during the discussion, the Chair of Council asks whether there is any objection against approving the draft decision presented in the Council document and/or projected on a screen, or read out loud by the Chair or the proposing Council member. At the latest at that time, amendments that haven’t yet been proposed during the discussion must be tabled. Should there be no consensus or at the request of members of the Council, the Chair will call for a vote. Usually, votes are taken by show of hands unless there is a request for a vote by roll call or a vote by secret ballot.

§90 The decisions of the Council are published on the IUCN website in the version they were approved during the meeting, together with their translation into the two other official IUCN languages as soon as they are ready, but at the latest 6 weeks following the end of the meeting as required by the Transparency Policy.

[IUCN website](#)

§91 The summary minutes of the Council and the decisions of Council/Bureau meetings will record the individual voting results whenever a vote by roll call is required for a decision or when a member of the Council or the Bureau requests their vote to be recorded.

[The Council's Policy on Transparency](#), paragraph 5.

§92 **Closed meetings.** The President or Council may decide to meet behind closed doors. Typical examples are the closed meeting of the Council during the last ordinary meeting of the term in order to select the candidates which the Council wishes to nominate to Congress for election as President, Treasurer and Commission Chairs, and the closed meeting to discuss the performance appraisal of the Director General. Closed meetings have remained exceptional. Note also the practice of Council meeting for dinner with the Director General, with no one else present.

[Stat 58](#)

§93 **Languages.** The official languages of IUCN are English, French and Spanish. In practice, simultaneous interpretation is provided during the plenary sessions of the face-to-face meetings of the Council but not for meetings, be they face-to-face or virtual, of the Council committees, working groups or task forces. The latter are usually conducted in English. Upon request, members of the Secretariat staff will offer language assistance to Council members. Council documents are provided in English only.

[Stat 100: Reg 53](#)

§94 **Documents.** The Secretary to Council coordinates the Secretariat's preparation of Council documents required for the (face-to-face and virtual) meetings of the Council, the Bureau and the Council committees. They are made available to all Council members and Deputy Commission Chairs via the Council section of the Union Portal. Email notifications are sent when important new documents have been posted in the Portal. Concerned to reduce the printing cost and ecological footprint of the Council meetings, and to speed up communication and facilitate access to the most recent version of the documents, no hard copy has been distributed since 2012.

§95 **Summary minutes.** The Secretary to Council prepares the summary minutes and distributes them for comments and approval in accordance with Regulation 52. "Summary minutes" contain summaries of presentations and discussions and do not record verbatim the interventions made during the meeting. Council members may submit revised wording for the parts of the summary minutes reflecting the presentations or discussions or send the verbatim text of their intervention. Revisions to the text of decisions is not permitted at this stage because the summary minutes quote the decisions with the wording as approved during the meeting. To modify the wording of a decision would mean to re-open discussion of the agenda item concerned, which requires Council approval.

[Reg 52](#)

§96 **Observers.** Although Regulation 49 provides that (only) international organizations with which IUCN has formal working relations may attend the meetings of the Council as observers with the right to speak, the Council does not in practice invite observers. As part of the governance reforms approved in April 2016, Council resolved to use the possibility of including external individuals in Council committees, working groups and task forces in order to bring in needed skills and knowledge and to use the possibility to invite these individuals to participate as observers with the right to speak in the Council plenary. Council also "delegated" this function to the Bureau.

[Council Decision C/88/7](#),
Annex 2, point A1.3.

Cf. Annex 1 hereafter
(Rules of Procedure of
the Bureau, Appendix)

§97 It must be noted that the President and Council have

systematically pushed back requests from IUCN Members to observe the meetings of the Council not only because Regulation 49 restricts observers to international organizations, but more so because on the rare occasions such requests were received the Council wished to protect its independence and avoid pressure or undue influence. Consulted by the President about such a request from a State member candidate host for the next Congress, the Bureau advised in 2009 that “it was neither necessary or appropriate for candidate host country representatives to be in or around the IUCN headquarters before or during the time that we are considering the issue of the venue for the Congress”. The same practice was followed in 2013 when Council selected the venue for the 2016 Congress.

§98 **Virtual meetings of the Council.** Although unusual, the Council has met twice by telephone or Skype for Business during the term 2012-16, in both cases to adopt amendments to the Regulations in 2nd reading. The rules of procedure apply *mutatis mutandis* to virtual meetings of the Council in the same way as the Bureau’s rules of procedure do for the Bureau’s virtual meetings. Virtual meetings of the Council are considered as periodic meetings of the Council [in the sense of Article 101 (c)] and numbered accordingly.

§99 **Decisions adopted via electronic communication.** Article 95 of the Statutes allows the Council to approve decisions by email. This has happened occasionally when e.g. the question is urgent (the decision can be adopted after 7 days; no validation as for Bureau decisions is required) and relatively straightforward in the sense that no discussion is necessary and the draft decision is not likely to be amended. The rules of procedure apply *mutatis mutandis* to the approval of decisions via electronic communication in the same way as the Bureau’s rules of procedure do for the Bureau’s decisions approved via electronic communication.

§100 **Cost of Council meetings.** The annual budget approved by Council covers the direct cost of two face-to-face meetings each year. The average direct cost of one Council meeting held at the headquarters in Gland is CHF 110,000 of which 34% is spent on travel and 22% on accommodation for 37 Council members including Commission Chairs, 14% for all meals and 17% on simultaneous interpretation (reference base is the cost estimate for the 92nd Council meeting, February 2017). With the exception of the Secretary to Council and the Governance Assistant, the annual budget of the Governance Unit does not account for the working hours of numerous members of the Secretariat staff contributing to the preparation of the Council documents and attending the face-to-face and/or virtual meetings of the Council, the Bureau, Council committees, working groups and task forces.

§101 With the purpose of enabling the Council to determine the support it requires and ensure its independence, it was decided in April 2016 that “a Council budget line shall be established in the IUCN budget and Terms of Reference and criteria for use developed, with the budget to be decided annually.”

§102 **Reimbursement of Councillors’ travel expenses.** The “[Policy](#)

Cf. Annex 1 hereafter (Rules of Procedure of the Bureau, paragraphs 10 to 13)

Cf. decisions of the [86th](#) and [89th](#) meetings of the Council

Decisions approved by Council and Bureau 2016-20 via electronic communication are published on the [IUCN website](#) incl. for the period [2012-16](#).

Cf. Annex 1 hereafter (Rules of Procedure of the Bureau, paragraph 15)

[Council Decision C/88/7](#), Annex 2, point D2. (April 2016)

[Policy on the](#)

on the [Reimbursement of Travel Expenses to IUCN Councillors](#)” approved by the 41st Council Meeting (May 1995) and revised by the 57th Council Meeting (December 2002) still applies.

§103 Key elements of the Policy are as follows:

- Council members are encouraged to seek full coverage or a contribution towards their cost from sources other than IUCN;
- reimbursement of expenses related to attendance at meetings of the Council, the Bureau and Congress is restricted to the expenses defined by the Policy and covered by the annual budget;
- **travel expenses and subsistence costs** are governed by the rules applied to the Secretariat staff;
- IUCN pays the cost of air travel in economy class from the Council member's residence to the venue of the meeting;
- when meals are provided, the per diem rate is adjusted accordingly;
- additional days spent at the venue of the meeting before and/or after the meeting for purposes other than IUCN business are at the charge of the Council member;
- **health and accident insurance and insurance of personal belongings** are the personal responsibility of each Councillor.

[Reimbursement of Travel Expenses to IUCN Councillors](#)

For arrangements agreed with Hogg Robinson Group for the purchase of Councillors' flight tickets, see the [INFORMATION NOTE of 20 October 2016](#)

11. The Bureau of Council

Authority of the Bureau

§104 The Council shall establish a Bureau which shall act on behalf, and under the authority of the Council between meetings of the Council.

[Stat 49](#)

§105 This statutory provision means that, while Council may delegate responsibilities to the Bureau, the Council must not renounce its authority to review the decisions taken by the Bureau. The Council does so by validating the Bureau decisions through a no-objection procedure conducted by email exchange. However, in order to extend the range of matters on which to entitle the Bureau to act upon with the purpose of enabling the Council to effectively exercise its strategic direction and oversight role, the Council amended Regulation 57 by establishing, as part of the Rules of Procedure of the Bureau, a list of specific matters on which the Bureau may decide directly. The Council may review and modify the list of “delegated matters” as and when necessary, in function of its experience with the delegation of responsibilities to the Bureau and the necessities of the time, and without having to go through the procedure for amending Regulation 57 in accordance with Articles 101-102 of the Statutes.

The procedure to validate Bureau decisions by a no-objection procedure is described in Reg 58.

Cf. [Management Response to the External Evaluation of Aspects of IUCN's Governance](#) (p.4)

[Council Decision C/88/7](#)
Cf. Annex 1 hereafter (Rules of Procedure of the Bureau)

§106 According to Regulation 57, the Bureau may also act on behalf of Council on any matters that Council may assign to it from time to time, usually by way of a Council decision (“requesting the Bureau to etc.”), and any matters that may arise under Article 46 (b) to (q) of the Statutes. In other words, the Bureau may take a decision on any of the functions of the Council listed in Article 46 (b) to (q) of the Statutes at its own initiative, without first asking or receiving a mandate from the

Council. All Bureau decisions must, however, be validated by the Council through a no-objection procedure.

The Rules of Procedure of the Bureau

§107 The Rules of Procedure of the Bureau define in more detail the mandate and composition of the Bureau, and its mode of operation. (Annex 1 hereafter)

§108 The Secretary to Council also acts as the Secretary of the Bureau. Official correspondence to the Bureau should be addressed to president@iucn.org.

12. Committees, working groups and task forces

§109 **Nomenclature of Council subsidiaries.** As part of the “Enhanced practice and reforms of IUCN’s governance”, the Council amended Regulation 59 to clarify the nomenclature of the subsidiary bodies which Council may establish according to Article 50 of the Statutes:

- i) standing committees formed by Council are called **committees**. The Statutes provide that they need to include at least, but not be limited to the Programme and Policy Committee, the Finance and Audit Committee and the Governance and Constituency Committee;
- ii) limited-life bodies formed by Council are **working groups** and submit their report with draft decisions for approval by the Council or the Bureau;
- iii) limited life bodies formed by a Council Committee are **task forces** and submit their report with draft decisions for approval by the Committee.

§110 The membership of the committees, working groups and task forces may be drawn from both within IUCN and outside IUCN in accordance with Regulations 59 and 60. As mentioned above in the section “Ensuring the right qualifications, skills and knowledge in Council”, Council is encouraged to use the possibility to include external individuals in Council committees, working groups and task forces in order to bring in needed skills and knowledge and the possibility to invite these individuals to participate as observers with the right to speak in the Council plenary. When giving effect to this, Council will need to consider the financial implications as the annual Budget would not normally cover such expenditure.

§111 Once established, working groups or task forces may alter their composition provided this has no adverse impact on the approved annual IUCN budget. However, the Council may only delegate authority to any committee or working group to act on its behalf for specific purposes, when the majority of the members of the committee or working group are members of the Council.

[Reg 59](#)

[Council Decision C/88/7](#),
Annex 2, B3.1 to B3.6

[Stat 50](#)

See above §15 on p. 7

These “delegated functions” are listed in Annex 2 (right hand

§112 **“Delegated functions” of the standing committees.** Council advised that the Terms of Reference of the committees be amended to assign and delegate specific functions for which the committees are given responsibility and may propose decisions. The Council also “delegated” functions to the Congress Preparatory Committee.

§113 As with any delegated authority, the Council can always withdraw or modify that delegation.

§114 The **Programme and Policy Committee (PPC)** assists the Council in providing strategic oversight of the implementation of, and advice on the development of the IUCN Programme and IUCN policy. The **Finance and Audit Committee (FAC)** assists the Council in providing strategic oversight on all matters relating to the organizational management of the Union, in particular the financial management, auditing of and fundraising for the Union and internal oversight and legal issues. The **Governance and Constituency Committee (GCC)** assists and provides advice to the Council with a view to maintaining an effective governance and an engaged membership of the Union.

§115 In order to make the most effective use of Council members’ time, the practice has been that each Councillor would be part of only one committee of Council throughout the term. The committee chairs are designated for the first half of the term and will be re-eligible at mid-term.

§116 **Reporting procedure.** With the purpose of enabling Council to use as much of its meeting time as possible for its strategic direction and oversight functions, the standing committees of Council, and if necessary the working groups of Council, will meet on the first day of Council prior to the plenary sessions of Council.

§117 The recommendations and proposed decisions of the committees and working groups within their responsibilities will be circulated to Council members prior to the Council plenary sessions. This constitutes the written report of the committees to Council. The committees or working groups may specify issues that they wish to see debated by the full Council or the Bureau. They become the object of the verbal report of the committees to Council.

§118 Councillors or Bureau members will have until the close of business on the first plenary day of the Council meeting to express a desire to reopen the debate regarding any proposed decisions from the committees and working groups which the committees or working groups had not recommended to debate in the full Council. In all other cases, the Council will adopt the proposed decisions of the committees and working groups without debate.

§119 Committees and Working Groups may also hold meetings (either physically subject to the Council-approved budget or electronically) between meetings of Council. Recommendations and draft decisions resulting from these meetings shall be sent to Council or the Bureau (as appropriate) electronically for decision.

§120 The **terms of reference of the working groups and task**

column highlighted in green) of [Council Decision C/88/7](#), Annex 2 (April 2016). They are also included in the draft Terms of Reference of the committees.

For the draft Terms of Reference of the three standing committees of the term 2016-20, see [Council documents C/92/4/1 to 3](#)

The written committee reports are either delivered in Word or PPT. The verbal report is usually delivered supported by PPT.

[Reg 59 \(d\)](#)

forces should be carefully reviewed by the Governance and Constituency Committee to ensure that the line between governance and management is not blurred.

§121 Council is to **review each working group and task force** with a view to reducing their number and incorporating as many of them within existing standing committees, also ensuring that those that are not incorporated into such a committee have a clearly limited duration related to the tasks that they need to fulfil. The terms of reference of working groups and task forces shall include a “sunset clause” specifying the duration of their mandate and requiring a specific decision of the Council or the relevant Council Committee to renew or extend their mandate.

§122 **Relationship with the Secretariat staff.** Just as committees (working groups or task forces) do not supplant Council, they do not take on day-to-day staff work. The Director General assigns appropriate staff members to support the work of each committee (working group or task force) or act as its secretary. Committee Chairs (and chairs of working groups or task forces) and Council members should not give directions or assign work to Secretariat staff unless that Staff member has been assigned by the Director General or his/her delegated Director to work with them.

Based on [Council Handbook \(2003\)](#), p. 27

13. The Union Portal’s section for Council

§123 To facilitate their access to information and Council documentation, the Council Secretary maintains a section for Council in the secured web based Union Portal. At the beginning of each term, Council members as well as the Deputy Commission Chairs receive their user ID and individual password enabling them to access the section for Council. Individual Council members’ access will be deactivated three months following the end of the Congress at which they have not been re-elected.

§124 A specific folder is established for the documentation of each Council and Bureau meeting, accessible to all Council members, the Deputy Commission Chairs and all IUCN Secretariat staff worldwide.

§125 Subsidiary bodies of the Council such as ~~the Bureau~~, the standing committees of the Council (PPC, FAC and GCC) as well as working groups and task forces will each have a section in the Council pages only accessible only to all Council members who are members of the body concerned, the Director General, the Council Secretary, the Legal Adviser, the members of the Secretariat assigned to support the body concerned and to such other individuals (staff, external experts etc.) as may be determined by each body.

[Council section in Union Portal](#). Note: staff access only via the Secretariat tab on the Portal home page > (document icon) All IUCN Secretariat and Ramsar Staff > Documents tab > Programmes and Units > Headquarters > Union Development Group > IUCN Council

See [the meeting folders for the Council 2017-20](#).

[Access the sections for the Council’s subsidiary bodies](#)

Comment [LdW5]: Correction of a material mistake.

Annex 1

Rules of Procedure of the Bureau of the IUCN Council

Adopted by Council on .. (date) in accordance with Regulation 57 (e)

[Revision of the "Terms of Reference and Procedure for the Bureau of Council", approved by Council at its 73rd meeting in November 2009, Council (Handbook 2003, Annex IV) taking into account the decisions of the 88th Council meeting, April 2016]

Mandate of the Bureau

1. The Council shall establish a Bureau which shall act on behalf, and under the authority of the Council between meetings of the Council. (Article 49 of the Statutes)
2. As provided in Regulation 57, the Bureau shall act on behalf of Council on:
 - (a) any matters that Council may assign to it from time to time,
 - (b) those specific matters assigned to it by the Council as provided for in the list annexed hereafter which may be reviewed and modified from time to time by Council, and
 - (c) any matters that may arise under Article 46 (b) to (q) of the Statutes.
3. The primary purpose of the Bureau is to be an instrument for Council to ensure governance decisions are taken in the interest of the smooth functioning of the Union without having to wait for the next Council meeting. This may include urgent matters that require proper discussion and examination and can therefore not be adequately decided by mail ballot of Council, or matters of a more administrative or transactional kind in order to create more space on the agenda of the regular Council meetings enabling Council to effectively exercise its strategic direction and oversight roles.

Composition of the Bureau

4. The Bureau shall consist of the President as Chair, two Vice-Presidents, the Treasurer, one Commission Chair, two Regional Councillors, and the Chairs of the Programme and Policy Committee, the Finance and Audit Committee, and the Governance and Constituency Committee [Regulation 57 (a)]. The two Vice-Presidents and two Regional Councillors shall serve only through the first half of the term, and for the second half of the term shall be replaced by Councillors from other Regions and the two other Vice-Presidents. [Regulation (c)]

The Vice-Presidents, the Chairs of the standing committees of the Council and the Regional Councillors members of the Bureau may be appointed by consensus decision of the Council on the proposal of the President following consultation with Council members. (Council decision C/88/7) In the absence of consensus, a vote may be taken or elections may be held. The Council shall ensure adequate geographical and gender distribution in the Bureau. (Council decision C/73/15.3.a)

5. The Commission Chairs shall elect their representative to the Bureau at the beginning of the term of Council and again at midterm, it being understood that any

such representative who served for the first half of the term will be re-eligible at midterm. [Regulation 57 (b)]

Convocation and preparation of meetings

6. The Bureau shall be convened by the President. The President shall also convene the Bureau at the request of at least one third of the members of the Bureau.

7. With the President's agreement, the Secretary to Council shall circulate a draft provisional agenda to the members of Council for their comments and eventual additions, at least two weeks in advance of the Bureau meeting unless urgent circumstances justify a shorter delay.

8. The provisional annotated agenda and Bureau documents shall be distributed to all Council members at the same time as their distribution to the Bureau. Any comments or proposals from members of Council who are not members of the Bureau related to the Bureau agenda and documents, will be shared with the members of Bureau provided they reach the President or the Secretary to Council before the beginning of the meeting.

9. As the case may be, standing committees of Council shall communicate their recommendations to the Bureau, if possible one week in advance of the Bureau meeting.

Meetings of the Bureau

10. Meetings of the Bureau will normally be held by telephone or the use of Voice over the Internet Protocol (VoIP) technology (or a combination of both). Within the framework of the approved budget, the Secretariat will provide adequate technology and, where required, will assist individual members of the Bureau with VoIP. To maximize the economical benefits of VoIP, the members of the Bureau are encouraged to make use of the VoIP as much as possible.

The Bureau may meet physically at the occasion of each Council meeting or, subject to the Council approved budget, between meetings of the Council.

11. The President's convocation of the Bureau will indicate the time of the conference call for each Bureau member.

12. Bureau meetings shall be in English. Bureau members shall, if necessary, make provision for interpretation.

13. The Regulations regarding quorum, voting and conduct of Council meetings shall apply to the Bureau by analogy, with the understanding that, during meetings held remotely, in the absence of consensus, the vote shall be taken by roll call. If they have not yet been presented through the Bureau documents, the President shall read the text of draft decisions before they are approved or otherwise present them in such a way that all participants in the meeting of Bureau can take cognizance of them.

14. Decisions of the Bureau shall be made by a two-thirds majority of the votes cast. (Regulation 58)

Decisions taken by electronic communication

15. At the request of the President, the Bureau may take decisions by electronic communication. The draft decision together with documents, if any are provided, will be distributed to the Bureau with copy to the members of the Council, requesting Bureau members to cast their vote, together with an explanation of their vote if they so wish, within one week from the President's communication. Any comments or proposals from members of Council who are not members of the Bureau related to the proposed Bureau decisions shall be shared with the Bureau provided they reach the President or the Secretary to Council before the date and time by which Bureau members are requested to cast their vote.

Following the Bureau meeting or decisions taken by electronic communication

16. The Council shall validate the decisions of the Bureau through a no-objection procedure as described in Regulation 58.17. The decisions of the Bureau so validated shall be published on the IUCN website in the official languages of IUCN together with the documents approved, annexed or referred to in the decisions (in the language(s) in which they are available), in accordance with ["The IUCN Council's Policy on Transparency"](#) and all IUCN Members will be notified thereof.

18. As required by Council's Policy on Transparency, official documents distributed for discussion or consideration (decision) by the Bureau, bearing the Bureau document code, will be publicly available after the end of the Bureau meeting concerned, once they have been finalized. They are normally posted on IUCN's public website, in the language in which they have been submitted, at the time of publication of the Bureau decision(s).

19. As soon as possible after the meeting, the Secretariat shall distribute draft summary minutes to Bureau members for their comments. Two weeks following their distribution the summary minutes including the comments received from Bureau members will be considered as approved, except for any decisions for which Council members have objected as per Regulation 58, or unresolved issues in respect of the wording of summary minutes which will either be referred to the Bureau by mail ballot, or to the next meeting of the Bureau for resolution.

20. The approved summary minutes of the Bureau shall be made available to all Councillors via the Council section in the Union Portal.

Appendix to the Rules of Procedure of the Bureau

Specific matters on which the Bureau shall decide directly as assigned by the Council to the Bureau (decision C/88/7) in accordance with Regulation 57:

Statutes, 23:	Determining dates and venue of the World Conservation Congress
Statutes, 29 (c):	Proposing amendments to Rules of Procedure of the World Conservation Congress
Statutes, 38 (e) & Regulation 45 (b)	Appointing a Councillor from the State where IUCN has its seat
Statutes, 45	Inviting observers to Council meetings
Statutes, 46 (b)	Adopting and publicizing statements on important issues concerning the objectives of IUCN
Statutes, 46 (g), 83	Approving the DG's annual report, including the annual financial statements
Statutes, 46 (m) & Regulations 46, 73, 73bis	Appointing Commission Steering Committees
Statutes, 46 (o) & Regulations 45 (d), 87	Appointing the Legal Advisor
Statutes, 46 (q) & Rule 74, Regulation 28	Appointing the Election Officer
Statutes, 47	Establishing fees for participation in IUCN events
Statutes, 64	Authorizing leave of absence from Council
Statutes, 68	Convening Regional Conservation Fora
Statutes, 88 (e)	Commenting on the quadrennial draft Financial Plan
Statutes, 90	Establishing endowment funds
Rule 45	Consulting on the draft agenda of the World Congress
Rule 49	Setting the deadline for submission of motions
Rule 54 (b) x.	Approving the template for submitting motions
Rule 62quinto (a)	Deciding the dates for e-voting on motions
Regulations 8, 18	Admitting new IUCN Members with no objections ¹
Regulations 22, 23	Establishing groups for setting of dues for Category A Members and proposing Membership dues for Category B and C Members to Congress
Regulation 38	Setting the deadline for nomination of candidates for election as Regional Councillors
Regulation 43	Making Council awards for outstanding service to conservation
Regulation 48 (c) iii.	Receive written synthesis of Councillors self-assessments from the Vice-Presidents

¹ "The admission of new IUCN Members which met with no objections from the IUCN membership has to remain with Council or with the Bureau between meetings of the Council (Regulation 18)." This was the conclusion of the Bureau when making its recommendation to Council on this point (quote from Summary Minutes of the 66th Meeting of the Bureau, February 2016). Council subsequently endorsed this point without modification (Council decision C/88/7, April 2016). In other words, the procedure introduced by Council in 2013 through an amendment to Regulation 18 stands: within a reasonable time following quarterly application deadlines, either the Council takes the decision when in session, or the Bureau between sessions of the Council.

Annex 2

Strategic Planning and Reporting Framework

Approved by the IUCN Council, 88th Meeting, April 2016, decision C/88/7

As requested by the Bureau of Council², the Secretariat has reviewed the proposed Strategic Planning and Reporting Framework and produced an annotated table (hereafter) showing which reports are currently available, which are under development and where further discussion is warranted.

Based on on-going planning, monitoring and reporting work, the Secretariat will refine intersessional and annual planning and reporting (programme and financial) to better emphasize results and impact while demonstrating implementation and progress against the Sustainable Development Goals. Reporting on the One Programme Charter will aim to show Members' contribution to the IUCN Programme and implementation of the Resolutions and Recommendations.

Starting in 2017, the Programme and Project Portal will be the IT solution for project planning, management and reporting. The Portal will deliver a comprehensive portfolio monitoring platform, which will track delivery, compliance, results and expenditures. Results and impacts will be recorded and rolled up from individual projects to show global progress against the indicators of the IUCN Programme 2017-2020 and the Sustainable Development Goals. The Programme and Project Portal will initially be used by the Secretariat and future updates will enable reporting functionality for Members.

The emphasis on results and impacts related to the Sustainable Development Goals represents a fundamental shift in the way that IUCN plans and reports on its work as position's IUCN as a key leader for a significant portion of the SDGs. This will allow IUCN to draw on publicly available datasets to demonstrate its contribution to the SDGs

New planning and reporting work has started in the areas of DG's objectives, the Council work plan, a strategic risk matrix and refinement of reporting under the Risk Register.

Noting that "C9.1 The Council is yet to clarify what the "**Governance Compliance Inventory**" should contain in addition to the reports on legal liabilities which the Legal Adviser has been submitting to the FAC, and who should present it to Council,"³ this has not been included in the annotated table.

² [Decision B/66/2 of the Bureau](#) of the IUCN Council, 66th meeting, 19 February 2016

³ See section C9.1 of Annex 2 of [Council decision C/88/7](#)

Annotated Strategic Planning and Reporting Framework

Council requirement	Report	Type	Delegated authority	Focal point	Frequency	Status	Additional work required
Intersessional (quadrennial) Programme	Intersessional Programme	Planning document	Council	DG	Every four years	Normally produced every four years	Increased emphasis on results & impact, alignment with SDGs, use of Project Portal
	Outputs, (results) and Impact report	Monitoring & reporting document	Council	DG	Every four years	Normally produced in DG report to WCC	Increased emphasis on results & impact, alignment with SDGs, use of Project Portal
Commission planning and reporting	Commissions' work plans	Planning document	PPC, then Council	Commission Chairs	Annually and every four years	Normally produced annually and every four years (often jointly with Secretariat)	Refinement of planning tools to meet Commission needs
	Output, (result) and Impact	Monitoring & reporting document	PPC, then Council	Commission Chairs	Annually and every four years	Normally produced annually	Align Commission Reports in Council to annual reports
Congress Resolutions and Recommendations	Congress Resolutions and Recommendations	Planning document (WCC output)	Council	DG	Every four years	Normally produced – Proceedings of the World Conservation Congress	Could be more aligned to Programme workplan
	Implementation status report	Monitoring & reporting document	PPC, then Council	DG	Annually and every four years	Normally produced annually	Could be more aligned to Programme reporting
Annual workplan and Budget (combines two requirements)	Annual work plan and budget	Planning document	PPC, FAC, then Council	DG, Chief Financial Officer	Annually	Normally produced annually	Ensure alignment of plans to SDGs
	Programme and Projects Status Report	Monitoring & Reporting document	PPC, then Council	DG	Annually	Normally produced, covering progress against global results and priorities	Align reporting to global results, targets and indicators; align to SDGs
	Management accounts	Monitoring & reporting document	FAC, then Council	DG, CFO	Quarterly (proposed)	Normally produced twice per year	Decide whether to move to a quarterly report

Council requirement	Report	Type	Delegated authority	Focal point	Frequency	Status	Additional work required
One Programme Charter	Annual workplan	Planning document	Council	DG	Annual	Normally, planning for One Programme engagement included in Annual work plan	Enable planning through the Project Portal
	Strength of the Union indicators	Monitoring & reporting document	Council	DG	Annual	Normally, included in Annual Report to Council by the Secretariat	Refine One Programme Indicators; enable reporting by Members through Portal
Evaluations	Report on Evaluations	Monitoring & reporting doc.	Council and DG	Head, PM&E	Annual	Normally produced annually or on demand	Clarify reporting expectations

Other organizational planning and reporting

Council requirement	Report	Type	Delegated authority	Focal point	Frequency	Status	Additional work required
DG's Performance	DG's annual objectives	Planning document	Council	DG	Annual	Starting in 2016	
	Report on DG's annual objectives	Monitoring & reporting document	Council	DG	Annual	Starting in 2017	
Council planning and reporting	Council quadrennial work plan	Planning document	Council	Council	Annual	Starting in 2017 at first Council meeting	Produce a work plan
	Key tasks reporting	Monitoring & reporting document	Council	Council	Annual	Starting in 2018	Assign responsibility for tracking and coordinating preparation of a report
Strategic risk	Strategic risk matrix (in DG's report to Council)	Planning document + Monitoring & reporting document	Council	DG	Annual	Starting in 2016	TBD
Risk Register	Risk register & updates	Planning document + Monitoring & reporting doc.	FAC, Council	Head, Oversight	Twice per year	Normally produced	Identify top 10-15 risks

A Code of Conduct for IUCN Councillors

(Adopted by the 68th Meeting of Council on 20 November 2007 and modified by the 73rd Meeting of Council on 25 November 2009, ~~and~~ the 75th Meeting of Council on 20 November 2010 and the 70th meeting of the Bureau on 6 June 2017)

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PART I

Definitions

In this Code, unless the context reasonably indicates otherwise:

“Business transaction” means transactions including, but not limited to, contracts of sale, leases, licenses, loans, and arrangements for the performance of services.

Comment [LdW6]: Subject to approval by Council (93rd Meeting) of this amendment proposed by the Ethics Committee.

“Conflict of Interest” means a situation in which a Council member holds or assumes a role or engages in a relationship with a third party, in a context other than that member’s role in and responsibilities to IUCN, which impairs or reduces, or appears to impair or reduce, that member’s capacity to act in the best interest of IUCN.

“Council Handbook” means the IUCN *Council Handbook and Performance Tools* produced by the IUCN Governance Task Force, accepted by the IUCN Council at its 58th Meeting on 4 June 2003 and adopted under Regulation 48bis.

“Council member” means each elected or appointed member of the IUCN Council as provided in Article 38 of the Statutes.

“Close relatives” means family members including spouse, domestic partner, ancestors, siblings (whether of whole or half-blood), children, grandchildren, and great grandchildren; and the spouses of siblings, children, grandchildren, and great grandchildren.

Comment [LdW7]: Subject to approval by Council (93rd Meeting) of this amendment proposed by the Ethics Committee.

“Disclosure Form” refers to an obligatory standard form that each Council member must compile and submit to the Chairperson of the Ethics Committee of the IUCN Council annually by a specified date proposed by the Ethics Committee and agreed by Council.

“The Ethics Committee” is comprised of the Vice Presidents, and its mandate is to oversee and administer the interpretation and application of this Code.

“Expulsion” from Council means the removal of a Council member from his/her position on the IUCN Council following suspension, pursuant to Article. 65 of the Statutes.

“Gifts” means objects, services and/or other benefits that are offered to a Council member and whose value, as assessed by an independent valuator, exceeds two hundred (200) Swiss Francs,

“Honorarium” means a payment offered to a Council member for a task undertaken in that member’s capacity as an IUCN Council member.

“Leave of Absence” means permission for a Council member to be excused from his/her Council obligations for a specified period of time or Council meeting(s) without being subject to vacation of office, pursuant to a request that must be submitted by the Council member and affirmatively approved by Council (see Article. 64 of the Statutes).

“Other related parties” means:

- Any partnership, limited liability company or professional corporation in which a Council member or her/his close relative(s) is a partner, member or shareholder, respectively, with direct or indirect ownership interest in excess of 5%;
- Any entity in which a Council member serves as an officer, director, trustee, or key employee;
- Any entity in which a Council member and/or her/his close relative(s) own more than 35% of the combined voting power, profits interest, other ownership or beneficial interest, whether directly or indirectly, individually or collectively.

“Regulations” means the IUCN Regulations as adopted by the World Congress and amended by Council from time to time.

“Statutes” means the IUCN Statutes as adopted, revised and/or amended by the World Congress from time to time.

“Suspension” means the temporary relieving of a Council member of his/her duties pending a final determination of expulsion under Article. 65 of the Statutes.

“Threatened,” in reference to animals and plants that constitute all or part of a gift offered to a Council member, means animals and plants that are included in the categories critically endangered, endangered and vulnerable of the IUCN Red List in effect at the time at which the gift is offered to a Council member.

“Vacation of Office” means the automatic vacation of the office of a Council member under Article 64 of the Statutes.

Comment [LdW8]: Subject to approval by Council (93rd Meeting) of this amendment proposed by the Ethics Committee.

PART II

Preamble

Since 1948, the International Union for Conservation of Nature and Natural Resources (IUCN) (hereafter referred to as “IUCN” or “Union”) has led the development of conservation knowledge, and brought together governments, non-governmental organizations, scientists, companies and community organizations to help the world make better conservation and development decisions.

IUCN Council members are entrusted by the Union that has elected or appointed them, with significant responsibilities for ensuring that IUCN carries out its mandate as prescribed in its Statutes and Regulations.

By accepting to serve on the Council, Council members commit to conduct themselves in accordance with the highest ethical standards in carrying out their responsibilities, as required by Articles 59 and 60 of the Statutes and other applicable provisions in the Statutes and Regulations.

Council has therefore adopted this Code of Conduct, which provides ethical standards and criteria to which all its members are required to adhere in the performance of their responsibilities to IUCN.

The Council has responsibility for the oversight and general control of all the affairs of IUCN, subject to the authority of the World Conservation Congress. The composition, functions, rules and procedures of Council are prescribed in the Statutes, Regulations and Resolutions of IUCN. Council is further guided by the Council Handbook.

PART III

Duties of Members of the Council

a. Reasonable Care

The duty of reasonable care describes the level of attention and competence expected of a Council member. To fulfil this duty, Council members must exercise the same care than an ordinary prudent person would exercise for his or her own personal business in a like position and under similar circumstances. Ways in which to exercise reasonable care include preparing for meetings, attending meetings and participating in discussions by asking questions and offering advice, and taking on and performing additional duties and responsibilities as reasonably requested or necessary.

b. Loyalty

The duty of loyalty embodies a standard of faithfulness to the organization. This fundamental responsibility is to give undivided commitment to IUCN when serving as a Council member.

c. Respect

The duty of respect requires the Council members to be faithful to the Mission of IUCN. While Council members may and should exercise their own reasonable judgement concerning how IUCN should best meet its Mission, they have a duty to act in a way that respects the Objectives of the Union. In addition, Council members should understand and act strictly in accordance with the Statutes and policies that control IUCN governance and operations. Council members should equally be respectful of the personal and professional integrity of Secretariat staff and of their fellow Council members.

d. Transparency

The duty of transparency requires Council members to carry out their responsibilities in a general spirit of openness and transparency, but Council may decide to meet in a closed session to discuss confidential matters pursuant to Article.58 of the Statutes.

e. Confidentiality

Council members have a duty of confidentiality and must exercise sound judgment in refraining from disclosing to outside parties the internal deliberations of the Council, including written and electronic

correspondence, where such disclosure could jeopardise Council's decision-making process, bring Council and/or individual Councillors and/or staff into disrepute, or otherwise be detrimental to IUCN's interests. This is an absolute requirement in the case of information or documentation (i) identified as being confidential or (ii) discussed when Council is sitting in a closed session. Council members should be able to freely express themselves at Council meetings on IUCN business matters without fear of being quoted to unauthorized outside parties.

PART IV

Conduct

Council members shall observe the highest standards of ethical conduct. In the performance of their duties, they shall carry out the mandate of Council to the best of their ability and judgment.

a. Disclosure of Interests

Each Council member shall compile and submit an annual disclosure form to the Chairperson of the Ethics Committee. The information to be provided in such a disclosure form shall be requested in a standard format determined by the Ethics Committee. The Conflict of interest disclosure form approved by the Ethics Committee of Council is hereafter attached as Annex 2 and constitutes an integral part of the present Code of Conduct. Disclosure forms and relevant data contained therein will be compiled by the Ethics Committee or any other person to whom the Committee delegates this responsibility. Failure by any Council member to disclose potentially relevant interests in the disclosure form will be considered by the Ethics Committee, which if necessary, shall report back to Council with its recommendations.

Comment [LdW9]: Subject to approval by Council (93rd Meeting) of this amendment proposed by the Ethics Committee.

b. Conflicts of Interest

A conflict of interest situation may arise if a Council member has competing professional or personal interests, since such competing interests can make it difficult to fulfil his/her duties impartially. Even if there is no evidence of improper actions, a conflict of interest can create an appearance of impropriety that can undermine confidence in the ability of that person to use his/her position with proper ethics. A conflict of interest can exist even if no unethical or improper act results from it.

It is a fundamental principle that any financial or other benefit accepted by a Council member, whether direct or indirect, must in no way affect or be perceived as affecting the independence of that Council member, and that Council member must put and be seen to be putting IUCN's interests above any others.

Council members should arrange their private and other professional affairs in a manner that will prevent actual, perceived or potential conflict of interest. Whenever a Council member is in a conflict of interest situation as defined herein, that Council member is under an affirmative duty of disclosure to the Ethics Committee.

It will be the task of the Ethics Committee to review all relevant facts and circumstances and, on that basis, to determine to what extent that Council member will be directed to recuse him/herself from that role or to put an end to that relationship in order for him/her to be permitted to continue to serve as a member of Council.

Council members have a duty to avoid any conflict of interest situation involving them, individually or directly, as well as their close relatives or other related parties. If any such conflict arises, Council members must promptly inform the Council Ethics Committee (and if appropriate the Chair of the meeting where the conflict arises) and withdraw from participation in decision-making connected with the matter. If the conflict is apparent or potential rather than actual, Council members should seek the advice of the Ethics Committee of Council about whether they should recuse themselves from the situation that is creating the appearance of or potential for conflict.

Comment [LdW10]: Subject to approval by Council (93rd Meeting) of this amendment proposed by the Ethics Committee.

c. Consensus

Council members have a duty to participate actively in the deliberations and decision-making process of Council. Once a final decision has been taken on a matter before Council, Council members have also a duty to support that decision.

d. Reliability

Council members have a duty to attend all meetings of Council.

In the event that a member is absent without leave of absence from two (2) consecutive Council meetings, the Governance Unit will contact the member to send a warning and remind him or her of the provisions of Article 64.

Council members are also strongly encouraged, where feasible, to attend meetings of National and Regional Committees within their Regions.

e. Utilization of Resources

Council members have a duty to use prudently any resources, financial or other, provided by IUCN to them to carry out their duties. IUCN resources should only be utilized to execute the duties and commitments of Council members.

f. Conduct within the Union

Council members have a duty to treat their colleagues and IUCN staff with courtesy and respect, without harassment and without physical or verbal abuse.

Council members have a duty to exercise control and supervision over matters for which they are individually responsible.

g. Public Statements

When making public statements verbally or in writing in their capacity as members of Council, members should make it clear whether they are communicating in their personal capacity (*i.e.*, giving their personal view, not an IUCN view) or on behalf of IUCN (*i.e.*, giving the official/institutional position of IUCN). If Council members speak on behalf of IUCN, they should make clear in what capacity and by which authority, with due consideration of the revised Policy System adopted by Council in its decision C/56/17. Council members may not represent any organizations in addition to IUCN at the same time whilst making any public statement, except where IUCN and such other organizations have explicitly authorized such representation beforehand.

Before Council members engage in making any public statements, including speaking to the media, it is strongly recommended that they:

- (i) ascertain whether or not the matter is being dealt with in the Secretariat and obtain relevant information from the Director General;
- (ii) have a clear understanding of the issues;
- (iii) be thoroughly familiar with IUCN policy as set forth in IUCN Resolutions and Recommendations and with Council's plans for implementation of that policy;
- (iv) be thoroughly aware of any sensitivities on that particular or other related subjects within IUCN membership; and
- (v) have reasonable grounds to consider themselves expert on the matter at hand.

If Council members have any doubt that they do not meet any one of the criteria above, then they have a duty to refrain from making the public statement and they may refer the matter to other Council members who would meet all the criteria, or alternatively to the Director General.

h. Gifts

Council members are encouraged to refuse gifts or other benefits (including but not limited to subsidized holidays) from any sources external to IUCN offered to that member in connection with the member's office in the IUCN Council. However, gifts may be accepted, if:

- (i) in the Council member's reasonable judgment, refusal to accept would offend or embarrass the donor or IUCN;
- (ii) the gift does not comprise or include, to his/her or his/her family's knowledge, parts or products of globally threatened species; and
- (iii) the value of the gift or benefit does not exceed two hundred (200) Swiss Francs.

In general, Council members may accept reasonable hospitality, such as meals or local transportation, in the course of their normal IUCN duties.

If Council members are offered a gift or benefit for which the value exceeds the two hundred (200) Swiss Franc threshold, they have a duty to decline, explaining the IUCN Council policy on gifts. Nonetheless, in cases where Council members reasonably must accept the gift due to special circumstances, for example, when the donor will most likely be offended based on his or her cultural norm, Council

members must inform the Chairperson of the Ethics Committee for proper disposition of the gift.

Details of gifts of above two hundred (200) Swiss Francs, which Council members accept in their capacity as Council members, must be submitted to the Chairperson of the Ethics Committee on the appropriate form within sixty (60) days of receipt. Failure to declare any gifts as prescribed herein will be referred to the Ethics Committee for review, report back and recommendation to Council.

The Ethics Committee will make a determination on whether to dispose of the gift with the proceeds benefiting IUCN, whether to retain it in IUCN's ownership, or whether to give dispensation to the Council member to retain the gift. In the event of a decision to dispose of it, the original recipient will have, upon request, first option to purchase it at a price established through an independent appraisal.

If a member has any doubt, he/she is required to seek advice from the Chairperson of the Ethics Committee or, if this is not practical, from any other member of the Ethics Committee.

i. Compensation

Members of Council serve in a voluntary capacity (*i.e.*, without receiving remuneration from IUCN for their service).

Council members may seek reimbursement of the cost of their travel and subsistence (in this section referred to as "expense(s)") for meetings of the Council in accordance with the Council approved Policy on the Reimbursement of Travel Expenses to Council members for attending meetings of Council, or when undertaking special missions for the Union as agreed or authorized in advance within the context of the Union's Programme of action.

When a Council member accepts an engagement on behalf of IUCN, for which IUCN pays travel and subsistence in accordance with its policies, any expense reimbursement or honorarium, if offered, may be accepted and shall be remitted to IUCN. If a Council member accepts an engagement on behalf of IUCN for which IUCN does not pay any travel or subsistence, then the Council member may retain from any honoraria and expense reimbursement offered, a total amount as allowed in accordance with Council approved Policy, with any remaining balance to be remitted to IUCN.

j. Communication practice

Members of Council should:

1. largely focus on their global role as Councillors of a global Union,
 - providing policy-level guidance to the Director General and the Commissions, particularly on issues of substance or governance;
 - encouraging coherence among the different parts of the Union, needed to facilitate the design and implementation of the "One Programme";

- exercising fiduciary and supervisory responsibility over the affairs of the Union, including overall approvals for the Union's budget and plan;
 - monitoring and evaluating the performance of the Director General and holding her/him accountable for the performance of the Secretariat and implementation of the Programme;
2. comment only on those issues that are of direct interest to them or relevant to their respective roles on Council and avoid overloading colleagues and communication channels with inputs that do not add value to the discussion;
 3. copy messages to other recipients only on a 'need or desire to know' basis and not overload the mailboxes of fellow Councillors who are not or do not wish to be in that information loop;
 4. copy to relevant members of the Secretariat those exchanges among Councillors that they need to see to ensure that they can provide informed, appropriate and consistent support to the Council;
 5. use more effective channels than broadcast email for sensitive issues, e.g. to IUCN's National and Regional Committees, to address national or regional matters with the Director General;
 6. refrain from public discussion (i.e., outside the Council meeting) on personnel or other decisions that are the prerogative of the Director General. Where necessary, these should be taken up directly, one-on-one with the Director General. If email copies on these subjects cannot be avoided, they should be sent ONLY to the parties directly concerned with the particular issue;
 7. use good practices as the governing body of IUCN to set the right tone in our communication with each other and with the Director General and Secretariat, and to set an appropriate level for Council involvement; and
 8. inform and obtain input and feedback from IUCN Members, National and Regional Committees, and Regional Fora on the provisional agendas for upcoming Council meetings and in reporting the results of Council meetings to IUCN Members. The Councillors' role is to provide explanations on the agenda, encouraging Members to provide input to global decision making and to promote Council decisions, through submission of comments to the Director General prior to meetings of Council.

k. Conduct in the process of selecting the venue of the next World Conservation Congress

- a. No IUCN Council member may obtain property, financial advantage or any other benefit including but not limited to soliciting or accepting any gift, hospitality or value in kind from any Candidate (directly or indirectly) that could be seen as affecting the person's impartiality with regard to the selection process in line with the Code of Conduct for IUCN Councillors.
- b. No IUCN Council member or IUCN staff member may provide support to a Candidate in preparing their proposal.

Comment [LdW11]: Approved by the Bureau at its 70th Meeting, 6 June 2017.

PART V

Implementation of the Code of Conduct

a. *The Ethics Committee of the Council*

The Vice Presidents will constitute the Ethics Committee, consistent with Regulation 48 (cb) (i) and (iv). The Committee shall be responsible for consideration and administration of all matters relating to this Code and for assisting the Council in implementing the provisions of Article 65 of the IUCN Statutes and all other statutory provisions relevant to the ethical conduct of Council members.

Comment [LdW12]: Correction of a material mistake.

The Vice Presidents shall elect a Chairperson from amongst themselves for the purpose of implementing the Code of Conduct. If the ethical conduct of a member of the Committee comes under consideration by the Committee, that member shall *ipso facto* be excluded from the Committee's deliberations on that matter, and may be excluded from the Committee's deliberations on any other related matters upon the unanimous decision by the other Committee members.

The Ethics Committee shall maintain a secure permanent written and/or electronic record of their work in such a way as they may determine.

Attendance at the meetings of the Ethics Committee shall be restricted to Council members whose participation the Committee deems to be necessary or beneficial to its deliberations.

The Ethics Committee shall consider any alleged misconduct by a Council member, any conflict of interest issues and any other matters brought to its attention that are related to or fall within the scope of the provisions of this Code of Conduct. The Council member concerned shall, in all cases, be given the opportunity to respond to the allegations before the Committee.

If a majority of members of the Ethics Committee who are entitled to vote on the matter concerned, determines that misconduct has been committed, and taking into account the nature and seriousness of the misconduct, the particular circumstances and the member's prior record of conduct, the Committee shall make recommendations to the Council on the appropriate action to be taken. Such recommendations may include the following:

- (i) taking no further action and closing the matter;
- (ii) issuance of a warning to the Council member;
- (iii) issuance of a warning to the Council member together with a statement to be minuted; or
- (iv) suspension or expulsion of the Council member.

If a majority of members of the Ethics Committee who are entitled to vote on the matter, determines that there was no misconduct, the Council member concerned shall be so informed and no recommendation or other communication to Council shall be made, unless it is agreed by both the Committee and the member concerned that an agreed communication would be desirable.

Upon receiving the recommendations of the Ethics Committee excluding possible suspension and/or expulsion, the Council shall give them due consideration. If Council cannot agree by consensus on what action to take, a secret vote shall be taken and the decision will be carried by a simple majority.

In the case that a recommendation by the Ethics Committee to Council entails or includes possible suspension and/or expulsion, the provisions in Article 65 of the Statutes shall apply.

b Application

The provisions of this Code shall apply to all elected and appointed members of Council.

c Adhere to Code and Signature

A copy of the Code of Conduct then in effect shall be attached to the nomination forms for any person seeking or accepting to stand for election or appointment to a position on Council.

By signing a nomination to be elected or appointed as a Council member, such a candidate agrees to submit to the provisions in the Code of Conduct both during and, where relevant (e.g in relation to confidentiality, respect etc), after their term has expired.

In order to ensure that all Council members fully understand the importance, responsibility and implications of their compliance with the Code, they will be required to sign two original counterparts of the Code during the first full meeting of Council at Headquarters after the World Conservation Congress. For those members who might be absent at that meeting, two originals shall be sent to them by courier for signature: the Council member will keep one signed original and shall return the other to the Ethics Committee within sixty (60) days after the date of the referenced Council meeting.

In the event of a member failing to sign the Code as indicated above, the member concerned will be considered as having acted in a manner seriously inconsistent with that member's duties and the provisions in Article 65 of the Statutes shall apply.

d Revision of the Code

Any Council member may seek a revision of the Code or an amendment of a specific section of the Code by submitting a formal request to the Chair of the Ethics Committee, who shall place the matter on the agenda of the Committee for consideration at the first opportunity after such a written submission has been received. If agreed by the Committee, the proposed revision or amendment will be submitted to Council for approval.

e Enforcement

Unless otherwise decided by Council or expressly provided for in the Code, all matters concerning breaches and enforcement of the Code will be reviewed by the Ethics Committee. Any Council member may submit details of any such breach to the Chair of the Ethics Committee, who shall place the matter on the agenda for consideration at the first meeting of the Ethics Committee after such a complaint has

been received. The Ethics Committee shall endeavour to deal with the matter as expeditiously and objectively as possible.

Unless otherwise instructed by Council, the Ethics Committee will investigate any allegations submitted to it and where necessary report back to Council with appropriate recommendation(s).

f. Information and its sources

Any information relevant to matters that fall within the scope of this Code is to be reported to the Ethics Committee, together with all supporting evidence.

The Ethics Committee will undertake such investigations as it believes necessary. The Ethics Committee will, as far as possible, undertake all its work, in keeping with the principles of natural justice. At the same time the Committee has a duty to protect information received, and its source, where disclosure might, in the Committee's view be detrimental to its work, or detrimental to the interest of the person/s who has(ve) supplied information to them."

Annex 1

Procedure for dealing with issues submitted to the Ethics Committee for consideration and decision

(approved by the IUCN Council at its 75th Meeting in November 2010)

In reviewing any issue submitted to it, the Ethics Committee (“EC”) shall apply this procedure **always consistent with and subject to relevant provisions of the Code of Conduct for Members of the Council** (“Code of Conduct”):

- maintaining strict confidentiality; the EC will disclose the issue only the President, the DG, and any other person who, in the reasonable opinion of the EC, may have information relevant to the issue;
- detailed records will be kept during the process and filed by the Governance Officer who will provide general secretariat support to the EC;
- the Council member who is charged with the alleged misconduct will be contacted only after discussion and agreement between the members of the EC and following procedure;
- the agreed decision and further course of action, including both the rationale for the decision and, as required under Part V of the Code of Conduct, (a) any specific recommendation to be made to Council or (b) the communication to the Council member involved that no misconduct was found, will be documented and filed.
- The Council member charged with the alleged misconduct shall be afforded, *inter alia*, the following rights: (a) to know the origin and nature of the allegation, (b) to be given reasonable time, information and opportunity to respond to the allegation, and (c) to be allowed fair and objective consideration of his/her response.

Steps in addressing and deciding an ethical issue:

1. The issue is documented by the Director General or the President, via the Governance Officer, with all relevant information, including: outline and materials related to the issue (including hard copy and electronic documents); identity of parties involved; bases/sources of authority for consideration by the EC (*e.g.*, IUCN Statutes and Regulations, Council Handbook, Code of Conduct) (all this constituting and referred to as the “File”).
2. The EC is provided with the File and any other appropriate information and background documentation. In each case, the Vice-Presidents shall, upon receiving the File, elect a Chairperson amongst themselves for the purpose of facilitating the work of the EC.
3. If, upon initial review of the File, the EC determines that the allegations and the supporting evidence before it could not reasonably constitute misconduct, the EC shall inform the President and/or the Director General that there are no grounds to further investigate the case, and the file shall be closed. In such case, the EC shall not communicate on the matter with the Council member concerned unless unusual circumstances reasonably require otherwise (*e.g.*, the Council member concerned found out about the allegations seeks information on the status of the matter).
4. If, upon initial review of the matter, the EC determines that the allegations and the supporting evidence before it reasonably could constitute misconduct, then it shall investigate the case. And to that end, it shall decide the process, timetable and logistics (including contacting and requesting a meeting with the Council member concerned), and who will be assisting it in addressing the issue (*e.g.*, the IUCN Legal Adviser and members of the Secretariat, as may be necessary and appropriate). All

requests for documentation or cooperation from the Secretariat will be addressed to the Director General, who may delegate specific tasks to members of staff in each case.

5. After the EC has investigated the case, it shall determine whether or not there was misconduct on the part of the Council member concerned, and consistent with that determination it shall take either one of the following steps:
 - 5.1 If the EC determines that there was misconduct, then it shall make “recommendations to Council” as prescribed in the Code of Conduct.
 - 5.2 If, on the other hand, the EC determines that there was no misconduct, then it shall so inform the IUCN President and either he/she or the EC Chairperson shall communicate the EC’s determination to the Council member concerned. In this case, the Code of Conduct prescribes that “no recommendation or other communication to Council shall be made, unless it is agreed by both the Committee and the member concerned that an agreed communication would be desirable.”
6. In reviewing the File and discussing the issue, the EC shall establish a detailed record of:
 - its initial assessment of the issues in light of the allegations made;
 - provisions in the Statutes or other sources of authority that are/may be applicable and relevant to the issues at hand;
 - clear and complete definition of the exact nature of the issues that are to be reviewed and decided; and
 - decision on the issues and on next steps to be taken pursuant to the Code of Conduct, *i.e.*, either communicating the finding of “no misconduct” to the concerned Council member, or making “recommendations to Council on the appropriate action to be taken” (Code of Conduct, Part V).
7. The EC shall discuss the issue(s) with the Council member concerned only in a properly convened meeting, avoiding one-to-one communications between any of its members and the Council member unless the EC specifically delegates one of its members to so proceed.

Annex 2

Conflict of interest disclosure form

Comment [LdW13]: Approved by the Ethics Committee of the IUCN Council, October 2017

Introduction

The Code of Conduct for IUCN Councillors (hereafter “Code of Conduct”) requires each Council member to “compile and submit an annual disclosure form to the Chairperson of the Ethics Committee. The information to be provided in such a disclosure form shall be requested in a standard format determined by the Ethics Committee.”

The Code of Conduct further specifies that “Failure by any Council member to disclose potentially relevant interests in the disclosure form will be considered by the Ethics Committee, which if necessary, shall report back to Council with its recommendations.”

All Council members are kindly requested to return the present form electronically or by hard copy addressed to the Chair of the Ethics Committee of the IUCN Council c/o Secretary to Council (**email address**) by (**deadline**) or before the end of the Council meeting during which the form has been distributed. Hard copies should be sent under a sealed envelope marked “Interest Declaration Form” by postal mail to (**address**).

The disclosure forms will not be distributed outside the Ethics Committee whose members will use the information only for the purpose of carrying out their mandate under the Code of Conduct.

If you have any questions, please contact the Chair of the Ethics Committee (**name, email address and telephone number**).

Conflict of interest according to the Code of Conduct for Councillors

In the Code of Conduct, “Conflict of Interest” means “a situation in which a Council member holds or assumes a role or engages in a relationship with a third party, in a context other than that member’s role in and responsibilities to IUCN, which impairs or reduces, or appears to impair or reduce, that member’s capacity to act in the best interest of IUCN.”

The Code of Conduct further specifies that: “Council members should arrange their private and other professional affairs in a manner that will prevent actual, perceived or potential conflict of interest. Whenever a Council member is in a conflict of interest situation as defined herein, that Council member is under an affirmative duty of disclosure to the Ethics Committee. [...] If any such conflict arises, Council members must promptly inform the Council Ethics Committee (and if appropriate the Chair of the meeting where the conflict arises) and withdraw from participation in decision-making connected with the matter. If the conflict is apparent or potential rather than actual, Council members should seek the advice of the Ethics Committee of Council about whether they should recuse themselves from the situation that is creating the appearance of or potential for conflict.”

Definitions

The Code of Conduct defines:

“Close relatives” as family members including spouse, domestic partner, ancestors, siblings (whether of whole or half-blood), children, grandchildren, and great grandchildren; and the spouses of siblings, children, grandchildren, and great grandchildren.

“Other related parties” as:

- Any partnership, limited liability company or professional corporation in which a Council member or her/his close relative(s) is a partner, member or shareholder, respectively, with direct or indirect ownership interest in excess of 5%;
- Any entity (governmental, non-governmental, or corporate) in which a Council member serves as an officer, director / board member, trustee, or key employee;
- Any entity in which a Council member and/or her/his close relative(s) own more than 35% of the combined voting power, profits interest, other ownership or beneficial interest, whether directly or indirectly, individually or collectively.

“Business transaction”: Business transactions include, but are not limited to, contracts of sale, leases, licenses, loans, and arrangements for the performance of services.

Disclosures

Please provide the information requested below for the calendar year ending (date).

If there is nothing to disclose, please write “N/A”. Attach additional pages if necessary to provide a complete response.

Return the present form electronically or by hard copy addressed to the Chair of the Ethics Committee of the IUCN Council [c/o Secretary to Council?] (email address) by (deadline). Hard copies should be sent under a sealed envelope marked “Interest Declaration Form” by postal mail to (address).

A. Identify any business transaction in which you or a close relative or other related party of yours engaged with IUCN or any of IUCN’s components⁴:

⁴ “Components” in the sense of Article 15 of the IUCN Statutes comprise: the World Conservation Congress, the Council, the National and Regional Committees and Regional Fora of Members, the Commissions and the Secretariat (including its regional, country and out-posted offices).

B. Identify any other role you hold or assume, or any other relationship with a third party, in a context other than your role in and responsibilities to IUCN, which impairs or reduces, or appears to impair or reduce, your capacity to act in the best interest of IUCN:

I hereby affirm that, to the best of my knowledge, this annual disclosure statement is correct and complete. I also hereby acknowledge my obligation to notify the Ethics Committee of the IUCN Council promptly if at any time any of the facts stated above change.

Name:

Date:

Signature:

Annex 4

Examples of the implementation or interpretation of the Code of Conduct

Comment [LdW14]: See (new) §35.

GCC Task Force on the Council Handbook

Results from the Task Force meeting of 29 April 2018
For consideration of the GCC under agenda item GCC13/1.4 on 30 April 2018

DRAFT COUNCIL DECISION

The IUCN Council,

On the recommendation of its Governance and Constituency Committee,

Adopts the following documents to be annexed to the Council Handbook:

- the Performance Commitment for IUCN Councillors (Annex 1);
- the IUCN Councillor Activity Report (Annex 2), and
- the Self-Assessment of IUCN Council members and Evaluation of the IUCN Council Meeting (Annex 3);

Adopts the updated version of the Council Handbook (Document C/93/8 dated 17 November 2017, Annex 1) as required by Regulation 48*bis*;

On the recommendation of its Ethics Committee,

Adopts the Conflict of Interest Disclosure Form (Annex 4);

Adopts the amendments to the Code of Conduct for IUCN Councillors pertaining to the disclosure of interests (Annex 5);

Requests Council members to return the Conflict of Interest Disclosure Form duly filled out and signed by 2 June 2018.

Performance Commitment for IUCN Councillors

(To be read by each candidate accepting a nomination to become a member of the IUCN Council. All elected and appointed Councillors are invited to sign this commitment at the time of their nomination or appointment.)

Background

The IUCN Council is taking steps to improve the effectiveness and efficiency of its governance system. Effective members of Council are a critical part of the IUCN governance system. One of the steps being taken to ensure an effective Council is to strengthen the nomination process for Councillors to ensure that criteria and expectations of what it means to be an IUCN Councillor are clear when nominations are accepted, and that Councillors make a commitment to fulfil these criteria.

The following Commitment sets out a minimum level for your participation and input to the work of the IUCN Council. Your commitment as a member of the IUCN Council is to be seen in the broader context of the overall role of the IUCN Council as set out in Articles 37–65 of the IUCN Statutes.

Performance Commitment

As a duly elected member of the IUCN Council, I agree to do my best to fulfil my duties as an individual Council member. These are to:

1. **Participate fully in the work of the Council**, by
 - a) taking part in official Council meetings as notified by the Secretariat at least one month in advance. This may include physical attendance or video- and tele-conferencing;
 - b) providing meaningful responses to official Council communications requesting comments and inputs to such Council matters as minutes, committee proposals and decisions on any matters on the Council agenda; and
 - c) participating in subcommittees and Task Forces of the Council, whether as assigned by the President or on a voluntary basis.

If, for any reason, I am not able to attend duly notified Council meetings for a prolonged period of time (three consecutive Council meetings) or to participate by some other means (telephone, email) to the satisfaction of the Bureau of Council, I agree to step down from my position as Council member and to allow the Council to replace me, as provided under the Statutes (Article 64).

2. **Serve on the Council of IUCN on a voluntary basis**, receiving no financial payment for my work as a Council member, other than reasonable reimbursement of expenses incurred in carrying out my Council duties, as set out in the Statutes (Article 63).
3. **Abide by accepted codes of conduct** and duties, specifically the Code of Conduct for IUCN Councillors which forms an integral part of this Agreement. I will review and avoid any potential conflict of interest and each year submit the conflict of interest disclosure form to the Ethics Committee of Council.

Extract from the Council Handbook, 2003, endorsed by the GCC 24 July 2017
Including the modification made by the Ethics Committee of Council in point 3.

4. **Comply with all applicable laws and regulations of IUCN** relating to Council members.
5. **Respect the confidentiality of all information** declared by the Council to be confidential and received by me in any medium, including verbal, electronic or written.
6. **Remain accountable to the constituency of IUCN** – the membership.
7. **Acknowledge that**, if I am not able to fulfil these obligations as a Council member to the satisfaction of the Council, **Council has the right to suspend and expel me** subject to Article 64 and Article 65 of the Statutes, and to find a suitable replacement for me on the Council of IUCN.

Signature of IUCN Council member

Date

IUCN Councillor Activity Report

Revisions to the version approved by the GCC on 24 July 2017, proposed by the GCC Task Force on the Council Handbook

The IUCN Council is taking steps to improve the effectiveness and efficiency of its governance system. One of the measures being taken is to encourage all Councillors to report to Council on activities as an IUCN Councillor – at global level, regional level and national level (if applicable).

The following Councillor Activity Report outline provides a basic template for you to use in summarizing your activities as an IUCN Councillor in the period since the last Council meeting. The examples of activities relate to the statutory duties of Council members and are drawn from the role, functions and qualifications required for election approved by the Council.

Please complete the Activity Report at the end of each period between Council meetings, and post it in the Council section of the Union Portal (restricted to Council members only), or submit it by email to the Secretary of Council who will upload it in the Council Portal, before the beginning of the Council meeting. Please keep the total length of your report to maximum two pages.

To minimize the financial implications, the reports will not be translated. Council members are encouraged to submit their reports in English or, if possible, together with an English courtesy translation.

Name of Councillor:

Reporting period:

1. Global level activities

As Council members serve the global interests of IUCN, fulfilling the functions of the IUCN Council as outlined in the IUCN Statutes (setting strategic direction for the Union, exercising oversight of the performance of the Union, and carrying out fiduciary responsibilities), examples of activities in this category include participation in Council and Council Committees, Task Forces and Working Groups, and taking part in global events in coordination with the Director General. Please list the dates of this work, and briefly describe the nature~~extent~~ of your involvement and the significance of this work for IUCN.

2. Regional level activities

Examples of activities in this category include specific regional activities carried out in your capacity as IUCN Councillor, such as input to the Council on the collective interests of the IUCN Members in the Regions, reporting back to Members on Council decisions, participation in Regional Conservation Fora and work of the Regional Committees, or work with IUCN Regional Committees, IUCN Regional Offices and Members to promote the work of the Union and develop the membership in the Region. Please list the dates of this work, and briefly describe the nature~~extent~~ of your involvement and the significance of this work for IUCN.

3. National level activities

Examples of activities in this category include participation in the work of National Committees of IUCN, and other national-level IUCN related activities. Please list the dates of this work, and briefly describe the nature/extent of your involvement and the significance of this work for IUCN.

4. Other activities

List any other activities that you have carried out in your capacity as IUCN Councillor that you feel are of significance to IUCN.

Revised and approved by the GCC 24 July 2017

Self-Assessment of IUCN Council members and Evaluation of the IUCN Council Meeting

1. Introduction

Effective members of Council are a critical part of the IUCN governance system. As a member of Council, you are encouraged to reflect on your performance as an individual member of Council, and on the overall functioning of Council as a whole.

The following questionnaire is a tool enabling Council members to evaluate the effectiveness of Council during its most recent meeting and to assess their own performance as members of the Council during that meeting and in the period since the previous Council meeting.

Please complete the following questionnaire either electronically or on a hard copy, if possible within 7 days of receipt of the questionnaire. Please return any hard copies to Luc De Wever, Sr. Governance Manager, Secretary to Council.

Your feedback will remain anonymous. A compilation of the results will be shared with the President and Vice-Presidents who will transmit to Council a synthesis of the Council members' feedback together with details of any follow-up actions they have taken or that they recommend to the Council.

Rating options range from 5 (very satisfied / strongly agree) to 1 (very dissatisfied / strongly disagree).

Please check your category of Councillor:

Regional Councillor

Commission Chair

Other

2. Performance of Council at this Meeting

Please indicate how much you agree with each of the following statements by checking the appropriate box. Add any comments in the last column.

Council effectively fulfilled its role to set strategic direction for IUCN	5 4 3 2 1	
Council effectively fulfilled its role to oversee the performance of IUCN	5 4 3 2 1	
Council effectively fulfilled its fiduciary responsibilities	5 4 3 2 1	

Council functioned as a cohesive body, with members actively participating and treating each other with respect	5 4 3 2 1	
Council members were well prepared	5 4 3 2 1	
I am satisfied with the quality of decisions made by Council at this meeting	5 4 3 2 1	
Effective use is made of the Bureau in order to optimize the time available in Council for issues of strategic importance	5 4 3 2 1	

Do you have suggestions on how the overall effectiveness of Council can be improved?

Do you have suggestions on how to improve your own effectiveness as a Council member during Council meetings?

3. Leadership and Management of Council at this Council Meeting

Please indicate how much you agree with each of the following statements by checking the appropriate box. Add any comments in the last column.

The Council plenary agenda was sufficiently focused on strategic issues	5 4 3 2 1	
My time was well used in Council plenary sessions	5 4 3 2 1	
I was well briefed by the background materials provided by the Secretariat for this Council meeting	5 4 3 2 1	

The specific guidance required from Council on each agenda item was clear to me	5 4 3 2 1	
The time provided on the agenda for the business of Council was appropriately allocated	5 4 3 2 1	
The Chair managed the Council agenda in a timely manner	5 4 3 2 1	
The Chair encouraged all Councillors to participate in Council	5 4 3 2 1	
The Chair facilitated sound decision making by Council	5 4 3 2 1	
The Chair resolved conflicts when appropriate	5 4 3 2 1	
The Secretariat made an effective contribution to the (content of the) Council meeting	5 4 3 2 1	
The Secretariat provided adequate logistical and organizational support for this Council meeting	5 4 3 2 1	

Do you have suggestions on how to improve the leadership and management of Council?

Do you have suggestions on how to improve the logistical and organizational support for Council meetings (incl. travel and hotel arrangements)?

How might your skills be better utilized during the Council meeting?

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4. Performance of the standing committees of the IUCN Council

Please check the committee of which you are a member:

- Governance and Constituency Committee
- Finance and Audit Committee
- Programme and Policy Committee

Please indicate the extent to which you agree with the following statements about the Committee of which you are a member. Add any comments in the last column.

The Committee was well led / chaired	<table border="1" style="text-align: center;"> <tr> <td style="width: 20px;">5</td> <td style="width: 20px;">4</td> <td style="width: 20px;">3</td> <td style="width: 20px;">2</td> <td style="width: 20px;">1</td> </tr> </table>	5	4	3	2	1	
5	4	3	2	1			
The Committee was well supported by the Secretariat	<table border="1" style="text-align: center;"> <tr> <td style="width: 20px;">5</td> <td style="width: 20px;">4</td> <td style="width: 20px;">3</td> <td style="width: 20px;">2</td> <td style="width: 20px;">1</td> </tr> </table>	5	4	3	2	1	
5	4	3	2	1			
The Committee focused on important strategic issues facing the Union and its results will make a significant contribution to the advancement of IUCN's Mission	<table border="1" style="text-align: center;"> <tr> <td style="width: 20px;">5</td> <td style="width: 20px;">4</td> <td style="width: 20px;">3</td> <td style="width: 20px;">2</td> <td style="width: 20px;">1</td> </tr> </table>	5	4	3	2	1	
5	4	3	2	1			
The committee is effectively assisting the decision process in Council	<table border="1" style="text-align: center;"> <tr> <td style="width: 20px;">5</td> <td style="width: 20px;">4</td> <td style="width: 20px;">3</td> <td style="width: 20px;">2</td> <td style="width: 20px;">1</td> </tr> </table>	5	4	3	2	1	
5	4	3	2	1			
Serving on this Committee was a valuable use of my time	<table border="1" style="text-align: center;"> <tr> <td style="width: 20px;">5</td> <td style="width: 20px;">4</td> <td style="width: 20px;">3</td> <td style="width: 20px;">2</td> <td style="width: 20px;">1</td> </tr> </table>	5	4	3	2	1	
5	4	3	2	1			

What could be done to improve the effectiveness of your committee, incl. to better utilize your own skills?

--

Do you have suggestions on how to improve your own effectiveness as a member of a Council committee?

5. Task Forces and Working Groups

Please check the Task Force / Working Groups that you served on since the last Council meeting:

[As of 29 March 2017, no Working Group or Task Force has been formally established]

Please indicate the extent to which you agree with the following statements about the Task Force/Working Group you served on during the period since the last Council meeting. Add any comments in the last column.

The Task Force/Working Group focused on important strategic issues facing the Union and its results will make a significant contribution to the advancement of IUCN's Mission	<table border="1"><tr><td>5</td><td>4</td><td>3</td><td>2</td><td>1</td></tr></table>	5	4	3	2	1	
5	4	3	2	1			
The Task Force/Working Group was well led / chaired	<table border="1"><tr><td>5</td><td>4</td><td>3</td><td>2</td><td>1</td></tr></table>	5	4	3	2	1	
5	4	3	2	1			
The Task Force/Working Group received adequate support from the Secretariat	<table border="1"><tr><td>5</td><td>4</td><td>3</td><td>2</td><td>1</td></tr></table>	5	4	3	2	1	
5	4	3	2	1			

If the Task Force / Working Group on which you served is to continue its work in the period until the next Council meeting, what could be done to improve its effectiveness, incl. to better utilize your own skills?

Do you have suggestions on how to improve your own effectiveness as a member of a task force / working group?

6. My role as a member of the IUCN Council between Council meetings

Please indicate how much you agree with the following statement by checking the appropriate box. Add any comments in the last column.

The role that I should play as a Council member between Council meetings is clear to me	<table border="1"><tr><td data-bbox="694 309 742 376">5</td><td data-bbox="742 309 790 376">4</td><td data-bbox="790 309 837 376">3</td><td data-bbox="837 309 885 376">2</td><td data-bbox="885 309 933 376">1</td></tr></table>	5	4	3	2	1	
5	4	3	2	1			

How might your skills be better utilized between Council meetings?

7. Additional comments

What suggestions do you have to improve this evaluation and self-assessment process?

Anything else you wish to suggest with regard to Council's effectiveness and your own performance as a Council member that has not yet been covered by this questionnaire?

Thank you for your feedback!



Conflict of interest disclosure form

Introduction

The Code of Conduct for IUCN Councillors (hereafter “Code of Conduct”) requires each Council member to *“compile and submit an annual disclosure form to the Chairperson of the Ethics Committee. The information to be provided in such a disclosure form shall be requested in a standard format determined by the Ethics Committee.”*

The Code of Conduct further specifies that *“Failure by any Council member to disclose potentially relevant interests in the disclosure form will be considered by the Ethics Committee, which if necessary, shall report back to Council with its recommendations.”*

All Council members are kindly requested to return the present form electronically or by hard copy addressed to the Chair of the Ethics Committee of the IUCN Council c/o Secretary to Council (**email address**) by (**deadline**) or before the end of the Council meeting during which the form has been distributed. Hard copies should be sent under a sealed envelope marked “Interest Declaration Form” by postal mail to (**address**).

The disclosure forms will not be distributed outside the Ethics Committee whose members will use the information only for the purpose of carrying out their mandate under the Code of Conduct.

If you have any questions, please contact the Chair of the Ethics Committee (**name, email address and telephone number**).

Conflict of interest according to the Code of Conduct for Councillors

In the Code of Conduct, “Conflict of Interest” means *“a situation in which a Council member holds or assumes a role or engages in a relationship with a third party, in a context other than that member’s role in and responsibilities to IUCN, which impairs or reduces, or appears to impair or reduce, that member’s capacity to act in the best interest of IUCN.”*

The Code of Conduct further specifies that: *“Council members should arrange their private and other professional affairs in a manner that will prevent actual, perceived or potential conflict of interest. Whenever a Council member is in a conflict of interest situation as defined herein, that Council member is under an affirmative duty of disclosure to the Ethics Committee. [...] If any such conflict arises, Council members must promptly inform the Council Ethics Committee (and if appropriate the Chair of the meeting where the conflict arises) and withdraw from participation in decision-making connected with the matter. If the conflict is apparent or potential rather than actual, Council members should seek the advice of the Ethics Committee of Council about whether they should recuse themselves from the situation that is creating the appearance of or potential for conflict.”*

Definitions

The Code of Conduct defines:

“Close relatives” as family members including spouse, domestic partner, ancestors, siblings (whether of whole or half-blood), children, grandchildren, and great grandchildren; and the spouses of siblings, children, grandchildren, and great grandchildren.

“Other related parties” as:

- Any partnership, limited liability company or professional corporation in which a Council member or her/his close relative(s) is a partner, member or shareholder, respectively, with direct or indirect ownership interest in excess of 5%;
- Any entity (governmental, non-governmental, or corporate) in which a Council member serves as an officer, director / board member, trustee, or key employee;
- Any entity in which a Council member and/or her/his close relative(s) own more than 35% of the combined voting power, profits interest, other ownership or beneficial interest, whether directly or indirectly, individually or collectively.

“Business transaction”: Business transactions include, but are not limited to, contracts of sale, leases, licenses, loans, and arrangements for the performance of services.

Disclosures

Please provide the information requested below for the calendar year ending (**date**).

If there is nothing to disclose, please write “N/A”. Attach additional pages if necessary to provide a complete response.

Return the present form electronically or by hard copy addressed to the Chair of the Ethics Committee of the IUCN Council [*c/o Secretary to Council?*] (**email address**) by (**deadline**). Hard copies should be sent under a sealed envelope marked “Interest Declaration Form” by postal mail to (**address**).

A. Identify any business transaction in which you or a close relative or other related party of yours engaged with IUCN or any of IUCN’s components¹:

B. Identify any other role you hold or assume, or any other relationship with a third party, in a context other than your role in and responsibilities to IUCN, which impairs or reduces, or appears to impair or reduce, your capacity to act in the best interest of IUCN:

I hereby affirm that, to the best of my knowledge, this annual disclosure statement is correct and complete. I also hereby acknowledge my obligation to notify the Ethics Committee of the IUCN Council promptly if at any time any of the facts stated above change.

Name:

Date:

Signature:

¹ “Components” in the sense of Article 15 of the IUCN Statutes comprise: the World Conservation Congress, the Council, the National and Regional Committees and Regional Fora of Members, the Commissions and the Secretariat (including its regional, country and out-posted offices).

Amendments to the Code of Conduct for IUCN Councillors

1. In PART I – Definitions, add the following clauses:

“Close relatives” means family members including spouse, domestic partner, ancestors, siblings (whether of whole or half-blood), children, grandchildren, and great grandchildren; and the spouses of siblings, children, grandchildren, and great grandchildren.

“Other related parties” means:

- Any partnership, limited liability company or professional corporation in which a Council member or her/his close relative(s) is a partner, member or shareholder, respectively, with direct or indirect ownership interest in excess of 5%;
- Any entity in which a Council member serves as an officer, director, trustee, or key employee;
- Any entity in which a Council member and/or her/his close relative(s) own more than 35% of the combined voting power, profits interest, other ownership or beneficial interest, whether directly or indirectly, individually or collectively.

“Business transaction” means transactions including, but not limited to, contracts of sale, leases, licenses, loans, and arrangements for the performance of services

2. In PART IV – Conduct, section *a. Disclosure of Interests*:

- Amend the following paragraph as follows:

Each Council member shall compile and submit an annual disclosure form to the Chairperson of the Ethics Committee. The information to be provided in such a disclosure form shall be requested in a standard format determined by the Ethics Committee. The Conflict of interest disclosure form approved by the Ethics Committee of Council is hereafter attached as Annex 2 and constitutes an integral part of the present Code of Conduct. Disclosure forms and relevant data contained therein will be compiled by the Ethics Committee or any other person to whom the Committee delegates this responsibility. Failure by any Council member to disclose potentially relevant interests in the disclosure form will be considered by the Ethics Committee, which if necessary, shall report back to Council with its recommendations.

3. In PART IV – Conduct, section *b. Conflicts of Interest*:

- Amend the following paragraph as follows:

Council members have a duty to avoid any conflict of interest situation involving them, individually or directly, as well as their close relatives or other related parties. If any such conflict arises, Council members must promptly inform the Council Ethics Committee (and if appropriate the Chair of the meeting where the conflict arises) and withdraw from participation in decision-making connected with the matter. If the conflict is apparent or potential rather than actual, Council members should seek the advice of the Ethics Committee of Council about whether they should recuse themselves from the situation that is creating the appearance of or potential for conflict.

Dear President Xinsheng,

Greetings from the IUCN Indigenous Peoples Organization (IPO) Members! We write to inform you of our San Jose, Costa Rica meeting in March 1-3, 2018 and to request your support for strengthened representation and participation of Indigenous Peoples within IUCN's governance, as well as the IPO in regions.

The gathering was the first time IPO Members met as a group since the IPO Category was approved by the IUCN Members' Assembly in 2016. Sixteen of the seventeen Indigenous Peoples Organizations Members were present (with one Member participating virtually). It included discussions and decisions on: IPO directions and priorities; overview and review of IUCN mandates, governance, programmes and projects; drafting a strategy for IPOs for the next three years; and nomination of global and regional focal points.

It was very fruitful and allowed us as a constituency to inform our work, to share the contributions that IPO's make to conservation of lands and territories, to discuss the Ipo membership category, to identify key priorities for Indigenous Peoples in the context of conservation and governance of IUCN and, most importantly, to discuss how to advance the implementation of the 100+ Resolutions related to Indigenous Peoples.

We are finalizing our draft strategy and plan to share it once the IPO Members have reviewed and formally approved it. In the meantime, we would like to make a specific request of Council with respect to IPO representation in Council.

The IPO Members formally request the appointment of an Indigenous Member of Council. We acknowledge that Council has the ability to make such an appointment as reflected in Article 38 (f) of the Statutes in relation to the Composition of Council: *38(f) one additional appointed Councilor, chosen by the Council on the basis of appropriate qualifications, interests and skills.*

We understand that precedent was set for this appointment in past Councils with the appointments of Henrietta Rasmussen from 1997-2000 (Inuit, Greenland, Denmark), Mary Simon from 1994-1996 (Inuit, Canada) and Aroha Mead from 2001-2008 (Maori) and Chair of the Commission on Environmental, Economic and Social Policy from 2009-2016. While Aroha Mead served on Council for 16 years, her first two terms were as an Indigenous Councilor and her last two were as Chair of CEESP where, until September 2016, she bridged her role as Chair of CEESP and in covering Indigenous issues. However, there has not been Indigenous representative appointed to Council appointment since.

The rationale for the appointment of an Indigenous Councilor is the following:

- New IPO Category: need for clear representation in Council from the new IPO Category and in more effectively engaging potential IPO Members
- IUCN's significant indigenous peoples mandates: it is recognized that many indigenous peoples' issues are included in IUCN's mandates and policies. IPOs would

like to request the review and evaluation of relevant IUCN Resolutions and the development of a specific Indigenous Peoples Policy for IUCN.

- Indigenous Knowledge: We believe that it is important for IPOs to have a legitimate space to visibilize and effectively apply the wealth of traditional knowledge in the practice of IUCN strategies and actions at the global level
- IUCN IPO Member led strategy: an IUCN Councilor able to speak on the role and implementation of this strategy at a high level of IUCN's governance will ensure due representation of its importance to the advancement of the Union and relevant follow up across IUCN's constituency.
- Regional and Global Coordination: an IUCN Councilor able help coordinate IPO's with the regional focal points as well as strengthen IPOs in each region to ensure participation in international fora relevant to IPO's

During our meeting in Costa Rica, we nominated an Indigenous candidate we would like to put forward for this position and that is Ramiro Batzin, Maya Kaqchikel, from Guatemala. His institution, Asociación SOTZ'IL, has been an IUCN Member since 2008. Please find his CV and biography attached for your review.

The IPO Members hope that IUCN Council will consider this request and we look forward to hearing from you on this matter.

Signed,

Ricky ARCHER, North Australia Land and Sea Management Alliance, *Australia*

Ramiro BATZIN CHOJOJ, Asociación SOTZ'IL, *Guatemala*

Dolores CABNAL COC, Asociación Ak'Tenamit, *Guatemala*

Kevin CHANG, Kua`aina Ulu `Auamo, *Hawaii (USA)*

John CHEECHOO, Inuit Tapiriit Kanatami, *Canada*

Jimmy CHUB LEAL, Fundacion Laguna Lachua, *Guatemala*

Julio CUSURICHI PALACIOS, Federación Nativa del Río Madre de Dios y Afluentes (FENAMAD), *Peru*

Okalik EEGEESIAK, Inuit Issittormiut Siunnersuisoqatigiifiat (ICC), *Greenland, Denmark*

Huihui KANAHELE-MOSSMAN, Edith Kanakaole Foundation, *Hawaii (USA)*

Natalie KURASHIMA, Kamehameha Schools, *Hawaii (USA)*

Juan Carlos JINTIACH, Coordinator of Indigenous Organizations of the Amazon River Basin, *Ecuador*

Onel MASARDULE, Fundacion para la Promocion del Conocimiento Indigena, *Panama*

Chaing Seing MOUNG, Gram Unnayon Sangathon, *Bangladesh*

Oswaldo MUNGUIA SIERRA, Agencia para el Desarrollo de la Mosquitia, *Honduras*

Hla Shing NUE, Bolipara Women's Welfare Association, *Bangladesh*

Walter QUERTEHUARI y Luis TAYORI, Reserva Comunal Amaraeri, *Peru*

Wallican SATAU, Indigenous Peoples of Africa Coordinating Committee, *South Africa*



- . **Nacionalidad** Guatemalteca
- . **Edad:** 49 años
- . **Dirección** 4ª. Calle 1-50 zona 3 Chimaltenango, Guatemala
- . **Estado Civil:** Casado
- . **DPI No.** 1722 09668 0401
- . **Teléfono:** (502) 5206-6705
- . **E-mail:** batzinz@gmail.com

Experto en conocimientos tradicionales y derechos indígenas, cambio climático, gestión de recursos naturales y culturales de forma colectiva, con experiencia a nivel territorial, nacional e internacional en desarrollar propuestas y procesos participativos sobre reconocimiento e implementación de derechos indígenas base para promover el desarrollo comunitario.

EDUCACIÓN:

1. **Maestría en Gestión Ambiental Local. (Pensum Cerrado).**
 - Universidad de San Carlos de Guatemala, Facultad de Agronomía.
 - Guatemala 2014 - 2015.
2. **Licenciado en Ciencias de la Comunicación. Colegiado Activo No 21824**
 - Universidad de San Carlos de Guatemala, Escuela de Ciencias de la Comunicación.
 - Guatemala 2012.
3. **Periodista Profesional. Universidad de San Carlos de Guatemala.**
 - Escuela de Ciencias de la Comunicación.
 - Guatemala 2012.
4. **Diplomado Internacional en Derechos Indígenas y Sistema Interamericano.**
 - Centro Universitario de Occidente CUNOC Universidad de San Carlos de Guatemala USAC.
 - Guatemala 2007.
5. **Diplomado de Estrategias y Técnicas para la Conservación.**
 - Tecnológico de Monterrey.
 - Ciudad de Monterrey, Nuevo León, México 2007.
6. **Diplomado en Gestión Legislativa.**
 - Escuela de Ciencia Política de la Universidad de San Carlos de Guatemala –USAC-
 - El Instituto Centroamericano de Estudios Políticos –INCEP y Centro de Estudios de la Cultura Maya –CECMA-
 - Guatemala 2000.
7. **Diplomado en Derechos de los Pueblos Indígenas.**
 - Universidad Nacional Autónoma de México, Universidad de San Carlos de Guatemala y el Programa de Justicia AID.
 - Guatemala, 2000.

8. Perito Contador.

- Escuela Nacional de Ciencias Comerciales Leónidas Mencos Ávila Chimaltenango.
- Guatemala 1990.

EXPERIENCIA LABORAL:

2017 – 2018	Coordinador Regional Programa Manejo Integrado de Recursos Naturales por pueblos Indígenas en Centro América CICA/Sotz’il
2015 – 2016	Director Ejecutivo Sotz’il
2005 – 20014	Presidente y Representante Legal, Asociación Sotz’il
2000 – 2005	Coordinador Regional, Consejo Indígena de Centro América.
1997 – 1999	Facilitador Regional, Consejo Indígena de Centro América.
1996 – 1997	Facilitador, Proyecto Q’anil, Fundación Rigoberta Menchu y Programa para el Desarrollo de Naciones Unidas.
1995 – 1996	Coordinador, Periódico Maya Rutzijol, Centro Maya Saqb’e.

CARGOS DE REPRESENTACIÓN:

1. Coordinador Global del Foro Internacional Indígena sobre Biodiversidad
2. Punto Focal Nacional Guatemala, Artículo 8j y Decisiones Relacionadas (Conocimiento Tradicional y Uso Consuetudinario) Convenio sobre la Diversidad Biológica.
3. Punto Focal Indígena ante el Banco Mundial, revisión de las políticas y dialogo Pueblos Indígenas-BM.
4. Miembro del Consejo Asesor Indígena Global. Conservación Internacional. 2013 - 2016
5. Miembro del Consejo Nacional de Cambio Climático en Guatemala, representación Pueblos Indígenas
6. Miembro Directivo de la Mesa Indígena de Cambio Climático en Guatemala.
7. Miembro del Grupo Promotor de Tierras Comunales, Guatemala.

PRINCIPALES HABILIDADES RELEVANTES:

- 1 *Formulación, Gestión, planificación, ejecución y evaluación y monitoreo de proyectos a nivel nacional, regional e internacional.*

- 1.1 Programa Manejo Integrado de Ecosistemas por Pueblos Indígenas 2016 -2020, Fondos KFW.
- 1.2 Proyecto: Promover la participación de los Pueblos Indígenas en el Convenio sobre la Diversidad, 2016 - 2017, (América Latina, África, Asia, Europa) Sotz'il. Fondos SwedBio, Suecia
- 1.3 Programa de Desarrollo de Capacidades en REDD+ para los Pueblos Indígenas, Proyecto Latino América (Belice, Guatemala, Salvador, Honduras, Nicaragua, Costa Rica, Panamá, Argentina, Chile, Colombia, Guyana, México, Paraguay, Perú, Surinam y Uruguay) Foro Indígena de Abya Yala-Sotzil 2015 -2018
- 1.4 Proyecto: Fortaleciendo los derechos y sistemas de conservación y desarrollo indígena en Centroamérica, (Guatemala, Honduras, Nicaragua), UICN-Sotzil. Fondo ICCO Act-Alliance 2015 - 20016
- 1.5 Programa Manejo Integrado de Ecosistemas por Pueblos Indígenas en Centro América, (Belice, Guatemala, Salvador, Honduras, Nicaragua, Costa Rica y Panamá), CICA 2008- 2010 Fondos BID-BM
- 1.6 Proyecto: Incidencia para el fortalecimiento a los procesos de gestión colectiva de los recursos naturales en tierras y territorios indígenas, mediante la instrumentalización y vigencia de la Categoría de Manejo Indígena en Guatemala. 2007
- 1.7 Consolidación y Fortalecimiento del Programa de Observancia y Verificación, Regional de los Derechos de Pueblos Indígenas de Abya Yala, Centroamérica, (Belice, Guatemala, Salvador, Honduras, Nicaragua, Costa Rica y Panamá), 2000 – 2005 CICA-SOTZIL Fondo PRODECA- IBIS Dinamarca
- 1.8 Programa de Pueblos Indígenas de Centro América, (Belice, Guatemala, Salvador, Honduras, Nicaragua, Costa Rica y Panamá), 1997 -1998, CICA, Fondos Unión Europea.
- 1.9 Experiencia en sistema de gestión de proyectos, de la Unión Europea, Banco Interamericano de Desarrollo, Banco Mundial, KFW.
- 1.10 Coordinador Sistema Gestión de Proyecto para Pueblos Indígenas, Sotzil

2 *Experto en Instrumentos y metodologías Participativas*

- 2.1 Consultor Regional, (Centro América), Desarrollo de la Metodología y Definición Estratégica, Baluwala: Marco Contextual, Conceptual, Filosófico y Metodológico del Programa Manejo Integrado de Ecosistemas en Centro América, que oriente el desarrollo de las actividades desde una visión y conocimientos indígena. CICAFOC-BID. Costa Rica, de junio a octubre de 2008.
- 2.2 Facilitación y desarrollo de la Metodología del K'ulbanik enfocada a la consulta, consenso y legitimación indígena en Guatemala

2.3 Facilitación de procesos metodológicos, basados en la consulta según el convenio 169 sobre pueblos indígenas de la OIT.

Actividades Puntuales:

1. Estudios: Derechos de los Pueblos Indígenas vigentes y derechos no reconocidos por el Estado Salvadoreño, Ministerio de Ambiente y Recursos Naturales, 20016-2017
2. Estudio “La Visión y Gestión de los Bosques por parte de Pueblos Indígenas de Guatemala (Maya Q’eqchi’) y su compatibilidad con los sistemas vigentes de verificación de legalidad en Guatemala” 2015 - 2016
3. Consultor revisión y evaluación políticas operativas salvaguardas, Banco Mundial, Febrero 2014 - Enero 2015.
4. Estudio de evaluación y formulación sobre la situación actual de la participación de los pueblos indígenas en los procesos REDD+ en Mesoamérica (Belice, Guatemala, Salvador, Honduras, Nicaragua, Costa Rica y Panamá). Fondo Cooperativo de Carbono Forestal de Mayo a septiembre 2014.
5. Estudio, Revisión y evaluación desde la Visión Indígena el Documento Estrategia Nacional REDD+ Honduras, Unión Mundial de la Naturaleza, de marzo a junio 201
6. Estudio, Revisión y evaluación desde la Visión Indígena el Documento Estrategia Nacional REDD+ Guatemala, Unión Mundial de la Naturaleza, diciembre 2011.
7. Estudio, Elaboración del informe sobre La Visión de los Pueblos Indígenas sobre los Conocimientos Tradicionales y el Cambio Climático, Comisión Presidencial contra la Discriminación y el Racismo contra los Pueblos Indígenas en Guatemala, Agosto y septiembre 2011
8. Consultor, Compilación de las Recomendaciones y Resoluciones de los Organismos Nacionales e Internacionales al Estado de Guatemala en Materia de Derechos de Pueblos indígenas. Centro Pluricultural para la Democracia, Guatemala, marzo a mayo 2010.
9. Estudio, Análisis de la Situación de Pueblos Indígenas y Áreas Protegidas en Guatemala en Relación a los Conocimientos Tradicionales, Recursos Genéticos y la Distribución Equitativa de los Beneficios. Fundación para la promoción del Conocimiento Indígena. Panamá, de Septiembre a Noviembre de 2010.
10. Catedrático: Modulo IX, Monitoreo y Evaluación de la Biodiversidad. Diplomado Mesoamericano Artículo 8J del CBD, Universidad de las Regiones Autónomas de la Costa Caribe de Nicaragua, Nicaragua, Puerto Cabezas, marzo de 2007

PARTICIPACIONES:

1. Diploma de Conferencista en el Encuentro Nacional de conservación en Tierras Privadas. **La Asociación de Reservas Naturales Privadas de Guatemala –ARNPG-. Guatemala 05 de junio 2013.**
2. Diploma de reconocimiento por el desarrollo de la temática de “Conocimientos Tradicionales y Medio Ambiente en el Marco del Oxlajuj B’aqtun”. **Ministerio de Cultura y Deportes. Guatemala 22 de mayo de 2012.**
3. Reconocimiento por dictar la Conferencia sobre Biodiversidad y Cambio Climático, en el marco de los “Desafíos para los Pueblos Indígenas”. **Universidad de San Carlos de Guatemala, Facultad de Agronomía. Guatemala Julio de 2011.**
4. Reconocimiento como conferencista en el conversatorio sobre “Implicaciones del Cambio Climático para Guatemala y el posicionamiento ante la Conferencia de las Partes –COP 16- en Cancún México”. **Facultad Latinoamericana de Ciencias Sociales FLACSO-Sede Guatemala y la Red Nacional de Formación e Investigación Ambiental REDFIA. Guatemala 23 de noviembre de 2010.**
5. Constancia de Participación en Taller de Entrenamiento de Entrenadores “El Cambio Climático y la Función de los Bosques”. **Conservación Internacional y la Mesa Indígena de Cambio Climático de Guatemala. Guatemala 21 al 24 de Julio de 2010.**
6. Diploma de Participación en la II Cumbre Latinoamericana sobre Cambio Climático e Impacto en los Pueblos Indígenas: **Post Copenhague. Enlace Continental de Mujeres Indígenas Región Sudamérica, Consejo Indígena de Centro América, Centro de Culturas Indígenas del Perú. Ciudad de Lima, Perú 25 y 26 de Enero 2010.**
7. Curso de entrenamiento sobre los Sistemas Interamericanos y Universal de Protección de los Derechos Humanos. **Sistemas Interamericano y Universal de Protección de los Derechos Humanos 2006. Washington D. C., 27 de Octubre de 2006.**
8. Diploma de Participación en el Curso Intensivo de Capacitación de la Metodología de Planificación para la Conservación de Áreas. **The Nature Conservancy TNC. San Pedro Sula, Honduras del 2 al 24 de agosto del 2006.**
9. Reconocimiento de Participación y Colaboración en el seminario “Construyendo un diálogo para la colaboración efectiva entre los Pueblos Indígenas y la Conservación Ambiental”. **El Ministerio de Ambiente y Recursos Naturales, el Consejo Nacional de Áreas Protegidas, el Consejo Indígena de Centro América, Conservación Internacional, The Nature Conservancy, FUNDAECO, La Universidad del Valle de Guatemala y Calmecac. Tecpan, Guatemala 6 y 7 de Diciembre de 2005.**
10. Constancia de participación en el Curso sobre “Construyendo Capacidades en Prevención y Resolución de Conflictos Socio ambientales”. **Sistema de la Integración Centroamericana, Comisión Centroamericana de Ambiente y Desarrollo, Futuro Latinoamericano, Instituto Nacional de Biodiversidad. San José, Costa Rica del 24 al 28 de octubre de 2005.**

11. Reconocimiento de participación en el taller Construyendo un dialogo para la colaboración efectiva: Pueblos Indígenas, Conservación y Areas Protegidas. **CONANP, CONSERVATION INTERNATIONAL, NA BOLOM. Tuxtla Gutiérrez, Chiapas, México 4 y 5 de agosto de 2005.**
12. Certificado como Coordinador de Simposio en el I Congreso Mesoamericano de Áreas Protegidas. **Comité Organizador del I Congreso Mesoamericano de Áreas Protegidas. Managua, Nicaragua 14 de Marzo del 2003.**
13. Diploma de Participación en el Taller Regional Centroamericano “Pueblos Indígenas y Áreas Protegidas”. **CICA, CCAD, CICAFOC. Guatemala 7,8 y 9 de Diciembre de 2000.**

EXPERIENCIAS Y CARGOS PUNTUALES DESEMPEÑADOS:

1. Coordinador Global Indígena Conferencia de las Partes Convenio sobre Diversidad Biológica, **Conocimiento Tradicional, Recursos Naturales**, Cancún, México, 2016
2. Coordinador Participación Indígena, **Congreso Mundial de Áreas Protegidas UICN**, Hawái, septiembre 2016
3. Coordinador Indígena, Side Event, Conocimiento Tradicional, Hyderabad, **Congreso Mundial de Áreas Protegidas India**, 2012
4. Coordinador, Side Event, Conservación, Uso Sostenible de la Biodiversidad y Adaptación Climática, Jeju, Japon, 2012
5. Coordinador, Side Event, Foro Indígena de Abya Yala sobre Cambio Climático, Pueblos Indígenas, REDD-Plus y Consentimiento Previo Libre e Informado, Conferencia de las Partes Cambio Climático, Cancún, México, Diciembre 2010.
6. Coordinador, Simposio Pueblos Indígenas, Áreas Protegidas y Conocimiento Tradicionales, III Congreso Mesoamericano de Áreas Protegidas. Mérida Yucatán, México, Marzo 2010
7. Ponente: Propiedad Intelectual y la Protección de Conocimientos Tradicionales en Centro América, Conferencia Regional Latinoamericana sobre Recursos Genéticos, Propiedad Intelectual y Conocimientos Tradicionales, Quito - Ecuador, Julio de 2008.
8. Coordinador, Simposio Pueblos Indígenas y Áreas Protegidas, Barcelona Congreso Mundial de la Unión Mundial de la Naturaleza UICN. España, Noviembre, 2008
9. Coordinador Simposio Pueblos Indígenas y Áreas Protegidas, Grupo de Trabajo de Áreas Protegidas del Convenio sobre Diversidad Biológica. Roma Italia, Febrero de 2008
10. Coordinador simposio Pueblos Indígenas y Áreas Protegidas, Bariloche, Argentina, II congreso Latinoamericano de Parques Nacionales y otras Áreas Protegidas. Septiembre de 2007

11. Coordinador, Simposio Pueblos Indígenas Áreas Protegidas, II Congreso Mesoamericano de Áreas Protegidas, Comisión Centroamericana de Ambiente y Desarrollo CCAD. Panamá abril 2006.
12. Expositor sobre Pueblos Indígenas y los Desastres Naturales, Reunión Latinoamericana y del Caribe sobre Educación en la Reducción de Riesgos y Desastres. El Salvador, septiembre 2004,
13. Coordinador Simposio Pueblos Indígenas y Áreas Protegidas, South África, Congreso Mundial de Áreas Protegidas. Septiembre 2003
14. Coordinador, Simposio, I Congreso Mesoamericano de Áreas Protegidas. Comisión Centroamericana de Ambiente y Desarrollo CCAD. Managua. Nicaragua Marzo 2003
15. Coordinador, Taller sobre la Visión de los Pueblos Indígenas de Centro América Frente al Plan Puebla Panamá. Belice, junio 2002. Consejo Indígena de Centro América CICA, Banco Interamericano BID.
16. Coordinador del Conclave Hemisférico de las Américas, para analizar el Proyecto de Declaración Americana sobre los Derechos de los Pueblos Indígenas de la Organización de Estados Americanos -OEA- Guatemala, febrero 2001. Organización de Estados Americanos -OEA- Consejo Indígena de Centro América CICA.
17. Coordinador, Taller Regional Pueblos Indígenas Postch Mitch y Desarrollo. Sistema de Integración Centroamericano, SICA Consejo Indígena de Centro América CICA. San Salvador, mayo de 1999
18. Facilitador, de la gira de participación e incidencia de los Pueblos Indígenas, en la Segunda Reunión del Grupo Consultivo de Países Donantes (post Huracán Mich), Consejo Indígena de Centro América CICA. Estocolmo Suecia, mayo 1999.
19. Facilitador, de la gira de participación e incidencia de los Pueblos Indígenas, en la Tercera Reunión del Grupo Consultivo de Países Donantes, (post Huracán Mich), Consejo Indígena de Centro América CICA, Madrid, 2000.
20. Coordinador, sobre el Seminario Taller Centroamericano, Desafíos de la Reconstrucción y Tareas del Futuro de los Pueblos Indígena y Negros de América Central, frente al Desastre del huracán Mitch. Tegucigalpa. Fondo Indígena Latinoamericano FONDIN, Consejo Indígena de Centro América CICA. Honduras. Diciembre 1998.
21. Coordinador, de la Cumbre de Representante de Estado y Pueblos Indígenas de Centro América, octubre 1998. Parlamento Centro Americano PARLACEN.
22. Coordinador, del Seminario Taller, Legislación, Territorio e Identidad de Los Pueblos Indígenas de Centro América, Tegucigalpa, Honduras, septiembre, 1997, Programa de Apoyo a los Pueblos Indígenas de Centro América/Unión Europea.

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Guatemala, marzo 2018.



94th Meeting of the IUCN Council, Gland (Switzerland), 29 April-2 May 2018

13th Meeting of the Governance and Constituency Committee

Agenda Item GCC12/2.1

Consideration of 13 membership applications, including deferred application from Tajjin (AITA Foundation)

Origin: Director General

REQUIRED ACTION:

The Governance and Constituency Committee is invited to MAKE A RECOMMENDATION to Council on the 13 following membership applications:

1. 12 new membership applications, which have received no objections from IUCN Members and fulfill the requirements of the IUCN Statutes and Regulations;
2. One membership application, which received objections from IUCN Members, which were considered by previous meetings of the Council/Bureau and for which the decision was deferred to the 94th meeting of Council in May 2018 (*Tajjin (AITA Foundation)*).

Background

The application and admission process for any organisation/institution interested in becoming an IUCN Member is regulated by the [IUCN Statutes and Regulations](#) (Articles 6 to 11 of the Statutes and Regulations 7 to 20).

Consideration of the membership applications

The Governance and Constituency Committee is invited to consider the 13 membership applications and to make a recommendation to the 94th meeting of Council. As per the admissions process, all applications were shared with IUCN Members (Regulation 14).

1. Twelve (12) new membership applications, without objections, that fulfil the requirements of the IUCN Statutes and Regulations

The Governance and Constituency Committee is requested to make a recommendation to Council on the 12 new membership applications which have received no objections from IUCN Members. See **Annex I below** for the list of applications. In the table of Annex I, click on the link in the right hand column to open the application form with the information provided by each applicant and the assessment form completed by the Secretariat when reviewing membership applications.

These 12 applications were submitted by the deadline of 31 December 2017 and circulated to IUCN Members on 9 February 2018. Members with voting rights had until 9 March 2018 to submit an objection (Regulation 15).

2. **One (1) membership application, which received objections from IUCN Members, which was considered by previous meetings of the Council/Bureau and for which the decision was deferred to the 94th meeting of Council in May 2018.**

The application from **Tajjijin (AITA Foundation), China** was submitted by the deadline of 31 March 2016 and circulated to IUCN Members on 10 June 2016. Members with voting rights had until 8 July 2016 to submit an objection (Regulation 15). 2 objections were received. **In line with Regulation 17, AITA was given 3 weeks (until 8 August 2016) to provide a reply to the objections raised.**

(In the summary table below, click on the link in the right hand column to open the application form with the information provided by each applicant and the assessment form completed by the Secretariat when reviewing membership applications).

IUCN Statutory region	#	Organisation name	Acronym	Country	Member Category	Letters of endorsement from IUCN Members, National/Regional Committees, Councillors, Honorary Members	Detailed application
South and East Asia	21	Tajjijin (AITA Foundation)	AITA	China	NG	1) NG/25372 Biodiversity Committee, Chinese Academy of Sciences, China 2) NG/25044 All-China Environment Federation, China	AITA

NG: National non-governmental Organisations

The **full background documentation** (application form, endorsement letters, objections received from IUCN Members, replies from the applicants to the objections, feedback from due diligence process) is available as **Annex II**. Also a discussion page was opened on the Union Portal for Councillors to share their views. The **content of the discussion** can be accessed by clicking [here](#).

Process undertaken with the Governance and Constituency Committee and Council on the application from Tajjijin (AITA Foundation)

26 July 2016

The Governance and Constituency Committee (GCC), having reviewed by email correspondence between 18 and 25 July 2016 the two above-mentioned membership application, amongst others, deferred its consideration of the application which received objections (Tajjijin (AITA Foundation) until the IUCN Secretariat reports back to the GCC with the results of the consultation of the applicants on the objections received in accordance with Regulation 17.

12 August 2016

The replies from the applicants were received and communicated to GCC, which recommended to Council to defer the consideration of the application which received objections until the Secretariat reports back to the Governance and Constituency Committee (GCC) with the additional information requested by GCC.

The documents received by GCC include the membership applications, the assessment form completed by the Secretariat, the Statutory documents and/or the endorsement letters submitted by IUCN Members in order with the payment of their dues, letters of objection and the replies from the applicants.

31 August 2016

On the recommendation of the Governance and Constituency Committee, the Council, at its 90th meeting decided to defer the consideration of this application. For the decision and its rationale, see the summary [minutes of the 90th Council meeting](#).

9 February 2017

At the 92nd Council, GCC could not find an agreement on this application mainly due to lack of information and understanding on the issues of sustainable use and trophy hunting. Therefore, it was decided to defer the decision to the 93rd Council meeting in November 2017 (decision C/92/13).

19 November 2017

At the 93rd Council, GCC found no history of conservation and didn't feel it was a conservation organisation. It was agreed to defer the decision until the Regional Office confirms conservation record of the organisation, as spelt out by Article 7 of the IUCN Statutes.

7 February 2018

After reviewing the information provided by the Regional and Country IUCN offices during its call on 7 February 2018, GCC discussed whether or not the latest information received from AITA really gave concrete evidence of their conservation work. It was decided that GCC would have more time to review the [AITA website](#) (section "updates"), make their comments and make a final decision during the 94th Council meeting.

Summary of Annexes

Annex I: List of new membership applications

Annex II: Tajjijn (AITA Foundation)

**Membership Applications
to be considered by the IUCN Council in May 2018**

Annex I

IUCN Statutory region	#	Organisation name	Acronym	Country / Territory (IUCN Statutory State)	Website	Member Category	Letters of endorsement from IUCN Members, National/Regional Committees, Councillors, Honorary Members	Detailed application
Africa	1	Benin Ecotourism Concern	ECOBENIN	Benin	http://www.ecobenin.org	NG	1) NG/25569 ACTION Plus, Benin 2) NG/25201 Centre Régional de Recherche et d'Education pour un Développement Intégré, Benin (<i>Regional research and Education Center for integrated Development</i>)	ECOBENIN
	2	Reseau Association Khnifiss (<i>Khnifiss Network Association</i>)	RAK	Morocco	http://www.association-khnifiss.com	NG	1) NG/1163 Association Marocaine pour la Protection de l'Environnement et le Climat, Maroc (<i>Moroccan Association for Environment and Climate Protection</i>) 2) NG/25279 Association de Gestion Intégrée des Ressources, Maroc (<i>Association of Integrated Resource Management</i>)	RAK
	3	Association Jeunes Science Kerkennah (<i>Kerkennah Youth Science Association</i>)	AJSK	Tunisia	http://www.iskerkennah.org	NG	1) NG/1243 Société protectrice des animaux et de la nature, Morocco (<i>Society for the Protection of Animals and Nature</i>) 2) NG/25693 Notre Grand Bleu, Tunisia (<i>Our Big Blue</i>)	AJSK
Meso & South America	4	Instituto de Derecho Ambiental de la República Dominicana (<i>The Dominican Republic Institute of Environmental Law</i>)	IDARD	Dominican Republic	http://www.idard@idard.org	NG	1) NG/1284 Centro para la Conservación y Ecodesarrollo de la Bahía de Samaná y su Entorno, Dominican Republic (<i>Centre for the Conservation and Eco-Development of Samana Bay and Surroundings</i>) 2) NG/918 Fundación para el Mejoramiento Humano - PROGRESSIO, Dominican Republic (<i>Foundation for Human Improvement</i>)	IDARD
North America & the Caribbea	5	American Society of Mammalogists	ASM	United States of America	http://www.mammalsociety.org	NG	1) IN/195 Wildlife Conservation Society, USA 2) NG/606 American Society of Ichthyologists and Herpetologists, USA	ASM
South and East Asia	6	Gujarat Ecology Commission	GEC	India	http://www.gec.gujarat.gov.in	GA	<i>Not required</i>	GEC
	7	Azat Foundation	AF	Pakistan	http://www.azatfoundation.org	NG	1) NG/25519 Society for Empowering Human Resource, Pakistan 2) NG/25488 Water, Environment and Sanitation Society, Pakistan	AF
East Europe, North & Central Asia	8	Stichting Connecting Natural Values and People Foundation	CNVP	The former Yugoslav Republic of Macedonia	http://www.cnvp-eu.org	NG	1) NG/72 Hellenic Society for the Protection of Nature, Greece 2) NG/25581 Macedonian Ecological Society, Macedonia FYR)	CNVP
West Europe	9	Association Française des Entreprises pour l'Environnement (<i>French association of companies for the environment</i>)	EpE	France	http://www.epe-asso.org	NG	1) NG/24585 Humanité et Biodiversité, France 2) NG/24938 Noé Conservation, France	EPE
	10	Un bosque para el Planeta Tierra (<i>A forest for planet earth</i>)	ONG	Spain	http://www.unbosqueparaelplanetatierra.com	NG	1) NG/24777 Fundación para la Conservación del Quebrantahuesos, Spain (<i>Bearded Vulture Conservation Foundation</i>) 2) NG/25232 Fundación Oxígeno, Spain	ONG
	11	Doğa Koruma Merkezi Vakfi (<i>Nature Conservation Centre Foundation</i>)	DKM	Turkey	http://www.dkm.org.tr/	NG	1) NG/24724 De Vlinderstichting, The Netherlands (<i>Dutch Butterfly Conservation</i>) 2) IN/1580 Tour du Valat, France	DKM
	12	Synchronicity Earth	SE	United Kingdom	https://www.synchronicityearth.org	NG	1) NG/250 Wildfowl & Wetlands Trust, UK 2) NG/252 Zoological Society of London, UK	SE

NG National Non Governmental Organisations

GA Government agencies

Membership application from Tajijin (AITA Foundation)

The membership application from Tajijin (AITA Foundation) was deferred by the 93rd Council until further information will have been received enabling the GCC to verify that the conditions for admissions are fulfilled. The relevant information was provided. During its call on 7 February 2018, the GCC discussed whether or not the latest information received from AITA really gave concrete evidence of their conservation work. It was decided that GCC would have more time to review the [AITA website](#) (section "updates") and make their comments.

GCC is invited to review this application, the additional information received and the information from AITA's website and make a recommendation to the IUCN Council for decision in accordance with Regulation 18.

1) [Tajijin \(AITA Foundation\), China](#)

This application was submitted by the deadline of **31 March 2016** and circulated to IUCN Members on 10 June 2016. Members with voting rights had until 8 July 2016 to submit an objection (Regulation 15).

2 objections were received. In line with Regulation 17, AITA was given 3 weeks (until 8 August 2016) to provide a reply to the objections raised.

At its last meeting in November 2017, GCC requested the Secretariat to seek additional clarification from the IUCN China Country Office and the IUCN Asia Regional Office with respect to Article 7 of the IUCN Statutes (Decision C/93/11). This information was received and is available [further down](#).

The full background documentation (application form, endorsement letters, objections received from IUCN Members, replies from the applicant to the objections, feedback from due diligence process) is available below.

Summary of documents for membership application from Tajjin (AITA Foundation), China

Click on document name for quick access.

Documents	Page No.
1) Application form	2
2) Assessment form used by the Secretariat to review membership applications	5
3) Endorsement letters	7
4) Statutory documents	9
5) Objections received from IUCN Members	24
6) Reply to objections from Tajjin (AITA Foundation)	30
7) Feedback from due diligence process	31

Applicant's Mission, Objectives and Activities

(for all categories)



As per the Statutes, “the applicant has as one of its central purposes the achievement of IUCN’s objectives and a substantial record of activity in the conservation of nature and natural resources.

The objectives and track record of the applicant²² embody to a substantial extent :

- (i) the conservation of the integrity and diversity of nature; and, either or both:
- (ii) the aim to ensure that any use of natural resources is equitable and ecologically sustainable;
- (iii) dedication to influencing, encouraging and assisting societies to meet the objectives of IUCN”

[Statutes, Article 7 (b) and (c)]

IMPORTANT: This section will be used to notify IUCN Members of your application and in the documentation submitted to IUCN Council without editing. Please stick to the maximum number of words indicated for each field otherwise part of your text will be cut.

Name of organisation AITA Foundation for Animal Protection

Country: China

Description of your organisation/institution:

Maximum 100 words

AITA Foundation was established by a group of famous media people in China and was officially registered on May 19th, 2011. Among the various animal issues that it addresses, wildlife protection is one of the most important areas.

Currently, in terms of wildlife protection, AITA Foundation is working on pangolin protection, elephant protection, and asiatic black bear protection. AITA Foundation has been vividly involved to improve the Wildlife Protection Law of China, and to raise public awareness about animal protection topics.

AITA Foundation was graded as a 4A group by the Civil Affairs Bureau Beijing in 2014.

Mission/Vision of your organisation/institution:

Maximum 100 words

Our mission is to help people understand animals, and facilitate changes of people’s mindset, behaviors, policies and legislations. What we do include: companion animal protection, wild animal protection and farm animal welfare.

We were funded by a group of media people. We are good at communications. We believe that communications can trigger changes.

²² These can take many forms, including field action, community involvement, research in the natural and social sciences, policy development, advocacy, legal activities, education and public awareness, and fundraising where these are for purposes in line with the mission of IUCN. While determining the relative importance of an activity is necessarily to some extent subjective, it is here considered that “substantial” can be assessed in terms of the applicant’s programme and projects, resource allocations, organisational structures and outputs.

Summary of your organisation's/institution's objectives as they appear in your Statutes / Bylaws / Articles of Association / other statutory document:

Maximum 300 words

Our objectives are facilitating changes of people's attitude towards animals and improving the laws and regulations related to animal protection.

Achievements: Describe your organisation's/institution's main achievements from the last three years and indicate any IUCN projects in which your organisation has been involved (i.e. successful projects which have already been implemented, etc).:

Maximum 500 words

Media / Communication / Public Awareness

- One of AITA Foundation's traditional projects is Media Salon, which we run regularly for journalists to discuss animal protection issues. In 2015, the Salon saw two members from the National People's Congress introducing the legislation of Wildlife Protection Law. Around 30 journalists from major media attended the event.

- We have been investing on our communication capabilities. Our Ta Radio program, a daily program telling real animal stories, is the first and only animal protection internet radio program. Ta Radio was nominated as one of the "Best 2015" programs by the Apple iTunes Podcast. Our Ta Publishing project has initiated and published two books in 2015, both are about wild birds' protection. And our Ta Video project also produces numbers of short movies and advertisement clips about animal protection, which are widely broadcasted in many cities through a variety of channels.

- In the hope of raising the public's awareness and understanding of rabies, AITA Foundation initiated Grey Ribbon Action on September 28th, 2014. The action serves to introduce scientific and effective means to prevent rabies.

- In partnership with Humane Society International (HSI), we launched the pangolin protection project in 2015. We organised various online and offline activities including putting on a pangolin protection advertisement in the Beijing Capital International Airport.

- We worked with the International Fund for Animal Welfare (IFAW) and helped to arrange celebrities to participate its elephant protection project "Saving Laura".

Law

We worked closely with the Development Research Centre (DRC), a government think tank under the State Council, to participate the revising of China's Wildlife Protection Law.

- We held a seminar which was attended by more than 100 experts and NGO people to discuss and present proposals to the National Congress.

- We organised a group of law experts and legislators to have visited the United States, and studied the wildlife protection laws, met the officials from the Department of State and the Departments of Justice.

- We helped different workshops for NGOs, animal protection experts and law professionals as well as people from animal industries to discuss for a better Wildlife Protection Law. Ideas and proposals from such workshops were presented to the National Congress.

Map your activities against the IUCN Programme 2013-2016²³ results that IUCN Programme Areas aim to have a positive impact on:

- 1: Biodiversity**
Your activities ensure that the conservation status of species and ecosystems is improved
- 2: People**
Your activities ensure that livelihoods benefit from effective, just, gender-responsive and equitable conservation yields
- 3: Nature and Development**
Your activities address the global challenges (climate change, food, development) through the use of nature-based solutions

Reason for joining IUCN

- To share knowledge**
- To network/establish partnerships**
- To influence the environmental policy**
- Other:**

Maximum 50 words

To contribute to the wildlife protection by participating IUCN activities;
To have voices from local animal NGOs in China being heard by the world;
To seek knowledge, experiences and help from international groups to help on local animal protection issues;

²³ The *IUCN Programme 2013-2016* identifies three Programme Areas (Valuing and Conserving Nature, Effective and equitable governance of nature's use, Deploying nature-based solutions to global challenges in climate, food, development) and a related set of thematic results. These Areas target critical issues that need to be addressed to tackle the conservation challenges of today and tomorrow, and to reflect the lessons we have learned in the implementation of previous programmes of work. To read more about the IUCN Programme, please consult our website: <http://www.iucn.org/knowledge/statutory>

Assessment form for membership applications

GA: Government agency

NG: National non-governmental organization

IN: International non-governmental organization

AF: Affiliates

Applicant category and ID number:	NG/25596
Organization name (original):	Tajjin
Organization name (in English¹):	AITA Foundation
Country and Statutory Region:	China, Asia Region
To be presented for admission on/in: (by MU)	July 2016

What needs to be checked by category							Does it comply?
Ref	Requirement / admission criteria	GA	IN	NG	Univ. ²	AF ³	Yes –no - n/a
Art. 5b	Forms part of the State Machinery	x				x (for GA only)	n/a
Art. 5d/e	Incorporated within a State <i>[document of incorporation (not compulsory to send) OR applicant's statutes]</i>		x	x	x	x (for IN/ NG/Univ. only)	Yes
Art. 7a	Shares and supports IUCN objectives <i>[applicant's statutes]</i>	x	x	x	x	x	Yes
Art. 7b	Has one of its central purposes to achieve IUCN's objectives (described in Art. 2) <i>[applicant's statutes]</i>	x	x	x	x	x	Yes
Art. 7b	Has substantial record in conservation of nature <i>[Application Form > Achievements]</i>	x	x	x	x	x	Yes
Art. 7c	Objectives and track record embody: i) <i>conservation of the integrity and diversity of nature; and, either or both⁴:</i> ii) <i>aim to ensure that any use of natural resources is equitable and ecologically sustainable</i> iii) <i>dedication to influencing, encouraging and assisting societies to meet the objectives of IUCN</i>	x	x	x	x	x	Yes
Art. 7d	Does not pursue activities that conflict with IUCN's objectives/activities <i>[applicant's statutes]</i>	x	x	x	x	x	Yes
Reg. 5a(i) Reg. 5b(i) Reg. 6a	Is Not-for-profit <i>[applicant's statutes]</i>		x	x	x	x (for IN/ NG/Univ. only)	Yes
Reg. 5a(ii) Reg. 5b(ii) Reg. 6b	Has been in existence for at least 3 years <i>[document of incorporation (not compulsory to send) OR applicant's statutes]</i>		x	x	x	x (for IN/ NG/Univ. only)	Yes
Reg. 5a(iii) Reg. 6f	Has a board that is autonomous and independent ⁵ <i>[applicant's statutes]</i>		x	x		x (for IN/NG only)	Yes
Reg. 5b (iv)	Is autonomous in administration and governance <i>[applicant's statutes]</i>				x	x (for Univ. only)	Yes
Reg. 5a (iv) Reg. 6e	Has a transparent, accountable and representative governance structure ⁶ <i>[applicant's statutes]</i>		x	x		x (for IN/NG only)	Yes
Reg. 5b (iii)	Is an academic or professional entity of high standing				x	x (for Univ. only)	n/a
Reg. 6c	Has a substantial record of activity in two or more States and out posted or country offices ⁷ <i>[Application Form > Mission, Objectives and Activities]</i>		x			x (for IN only)	n/a
Reg. 6d	Board is open to nationals from at least two States ⁸ <i>[applicant's statutes]</i>		x			x (for IN only)	n/a

¹ This should be the official existing translation or an agreed translation as provided by a reliable translator. MFPs should check that the translation is accurate. UDG can assist with the translation of the name if necessary.

² Universities are part of the NG category, but have to fulfil slightly different criteria.

³ GA/IN/NG wishing to apply as AF are still required to fulfil the basic requirements of GA/IN/NG respectively. Indications are provided in the AF column accordingly. For example for a GA applying as AF, it is essential that this GA complies with Article 5(b) of the Statutes, being one of the criteria for admission of a GA. Whereas, an NG/IN would have to comply with Article 5 (d/e) of the Statutes but not 5 (b).

⁴ Has to meet criterion (i) and at least one of the criteria (ii) or (iii).

⁵ Is deemed to mean a board whose decision-making processes adhere to the provisions contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and are not controlled or unduly influenced through financial or other pressures exerted by government agencies or public or private entities.

⁶ Is deemed to mean that the statutes/articles, regulations/bylaws and other constitutive institutional instruments provide for a governance structure that affords the members of the organization fair and adequate participation in the business and governance of the organization, that require the organization to be transparent and accountable in its activities, finances and policies, and that such provisions are adhered to in the day-to-day business of the organization.

⁷ "Outposted or country offices" means that the organization must have a registered office (legal seat) in at least two countries. Outposted staff based in partner organizations in other countries cannot be considered as "outposted or country offices".

What documents need to be provided by category and what needs to be done by IUCN						Does it comply?
Ref	Requirement / admission criteria	GA	IN	NG (incl. Univ)	AF	Yes –no - n/a
Reg. 4	Authorization to adhere to IUCN Statutes, is signed by Head of the Organization [<i>Application Form, page 14-15, signature page</i>]	x			x (for GA only)	n/a
Reg. 7, 9	Application form and authorization, endorsing IUCN's objectives, is signed by Head of the Organization [<i>Application Form, page 14-15, signature page</i>]	x	x	x	x	Yes
Reg. 8	Letters of endorsement (min. 2) from IUCN Members in good standing ⁹ or from IUCN National/Regional Committees or from IUCN Councillors or Honorary Members (<i>providing that there are no conflict of interest for the last two groups</i> ¹⁰): 1) All-China Environment Federation (NG/25044) 2) Biodiversity Committee, Chinese Academy of Sciences (NG/25372) (if letters come from IUCN Members, indicate Member ID, name of org, country)		x	x	x (for NG/IN only)	Yes
	Statutes/Bylaws/Constitution document(s) received		x	x	x	Yes
	Financial report validating operational expenditures of USD ¹¹ 63,000 received		x	x		Yes
Reg. 10	Deposit of CHF ¹² : 445 processed on 25 Feb 2016 by credit card / bank transfer / cheque / through Regional office (by MFP) Received at HQ on: (by MU)	x	x	x	x	Yes
MU process	Assessment form completed (by MFP)	x	x	x	x	Yes
MU process	Relevant IUCN Programme/country office staff do not have any particular issues with the applicant (by MFP)	x	x	x	x	Yes
MU process	Organisation, application form and documents entered in CRM (by MFP) [!! CHECK: original and English name, website, text length for description, mission, objectives and achievements]	x	x	x	x	Yes

MFP/UDG comments

Completed on: April 2016

by: Raj KUMAR

OBJECTIONS: (any objections received post-sending of the circulation list to Members, will be indicated here by the Membership Unit, Union Development Group)

⁹ "In good standing" means that the Member has paid all of its outstanding membership dues up to and including the year preceding the date when Council considers the application. It is the responsibility of the applicant to find endorsers.

¹⁰ When letters of endorsement are submitted by IUCN Councillors or Honorary Members, any formal or informal relationships with the applicant must be detailed and disclosed at the time of endorsement. Letters of endorsement shall indicate that the seconder knows well the applicant organization and its activities and therefore can confirm to IUCN that the applicant meets all the requirements prescribed in the IUCN Statutes and Regulations to be accepted as an IUCN Member.

¹¹ Operational expenditure is considered as annual and recurring expenses (staff salaries, building rental, administration costs, etc).

¹² Deposit equals the first year of Membership dues. Once the applicant is admitted, the deposit will be re-calculated pro-rata based on the Member admission date, and the difference carried forward. If not admitted, the deposit will be refunded.



中国科学院生物多样性委员会
Biodiversity Committee, the Chinese Academy of Sciences

**Letter of Endorsement for
AITA Foundation Join IUCN as a Membership Organization**

Dear IUCN Membership Unit,

As a member of IUCN, I would like to recommend the AITA Foundation to join IUCN family.

AITA Foundation was established by a group of famous media personnel in China and officially registered on May 19th, 2011, graded as a 4A group by the Civil Affairs Bureau Beijing in 2014. The mission of AITA Foundation is to help people understand animals, facilitate changes of people's mindset, behaviors, policies and legislations. Their projects are all designed and developed based on the vision of "Communication" and "Change", along with the goal of organization development.

AITA Foundation has been vividly involved to improve the Wildlife Protection Law of China, and to raise public awareness about animal protection topics. Currently, in terms of wildlife protection, AITA Foundation is working on pangolin, elephant, and Asiatic black bear protection.

AITA Foundation have been investing on their communication capabilities. The Ta Radio program, a daily program is the first and only animal protection Internet radio program in China and nominated as one of the "Best 2015" programs by the Apple iTunes Podcast; AITA Publishing project has initiated and published two books are about wild birds' protection in 2015; Ta Video project produces numbers of short movies and advertisement clips about animal protection, which are widely broadcasted in many cities through a variety of channels; Ta Media Salon, which runs regularly for journalists to discuss animal protection issues.

I believe the AITA Foundation, as an IUCN member, can support IUCN through participating in the work of IUCN and its subsidiary bodies, and work in collaboration with IUCN China office.

Thank you for your consideration.

Sincerely,

Ma, Keping
Secretary General
Biodiversity Committee, Chinese Academy of Sciences



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中华环保联合会
All-China Environment Federation

Tel: (86-10)51266665
Fax: (86-10)51230006
http://www.acef.com.cn
Add: 6 Floor, Huabiao Building,
East QingNianGou Street, Hepingli
100013, P.R.China

Supporting Letter for AITA to Join IUCN as a Membership Organization

Dear Sir or Madam,

As a member of IUCN, on behalf of All-China Environment Federation, I recommend Beijing Loving Animals Foundation (AITA) to join IUCN as a new member.

Initiated by a group of famous media people of China, AITA was officially established in 2011 and registered under Beijing Civil Affairs Bureau. AITA's mission is to help people understand animals, and facilitate changes of people's mindset, behaviors, policies and legislations.

Since its establishment, AITA has achieved remarkable progress in companion animal protection, wild animal protection and farm animal welfare. AITA has also been vividly involved in improving the Wildlife Protection Law of China, and to raise public awareness of animal protection.

I suggest that AITA become a member of IUCN and a regional partner to actively participate in the work of IUCN, particularly focusing on wildlife protection. AITA has strong aspirations to work together with IUCN and other IUCN members on wildlife protection, public awareness raising, and environmental legislation.

Yours Sincerely,

 Xie yuhong

Xie Yuhong
Deputy Secretary General
All-China Environment Federation



Rules and Regulation

of Procedure of AITA Foundation for
Animal Protection

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Part I General principles

1. The name of this foundation is AITA Foundation for Animal Protection, “AITA Foundation” for abbreviation.
2. This foundation is non-public offering.
3. The principle of the foundation is: strongly advocate the idea of “ Treating animals well, respecting lives”, promote the public education of caring animals, facilitate the development of animal protection, together to construct a society with harmony in mankind and nature.
4. The original fund of this foundation is 2,000,000 RMB, the sources of the fund are Tencent Public Charity Foundation and Laoniu Foundation.
5. The registered management department of the foundation is Beijing Department of Civil Affairs, the activity management department is Beijing Civil Affairs (Capital Charity Public Welfare Organization).
6. The domicile of this foundation is No.113 Yangfangdian West Road, Haidian District, Beijing.

Part II Activity Range

7. The range of the public activities of this foundation:
 - 1) Promote the development of animal protection, propel social management in the field of animal protection.
 - 2) Carry out various kinds of public activities and programs. Educate and influence citizens, promote the spread and approval of the idea of “treating animals kindly, respecting lives” .
 - 3) Cooperate with professional animal aid organization, financially support other public programs of animal protection, trace and assess effectively throughout the funded programs.
 - 4) Carry out the communication and cooperation with other animal protection organization and other public institutions, facilitate the construction and completion of laws and rules related to animal protection.

Part III Organization and Principal

8. The council of this foundation is formed by 11 members

The tenure of the council is 5 years. If selected successively, one can reappoint for another period.

9. The qualifications of the council:

- 1) Representative of the activity management department, donor or representative of donors, initiator or representative of initiators.
- 2) Professors, scholar and important non-profit organization leaders in the field of public charity, legislation, and culture.
- 3) Social elites with fine public figures who can influence the society positively .
- 4) Social elites who have important contribution to the foundation.

10. The formation and removal of council members

- 1) The first term of council members are nominated, negotiated and selected together by the activity management office, main donors and initiators.
- 2) At general election, candidates and leading group are nominated by activity management office, council, main donors and initiator. They organize an election to elect new council members.
- 3) Removal and supplement of council members should be approved by the council and business management department.
- 4) The result and removal of election should be registered and recorded in management department.
- 5) Members of the foundation who are relatives to each other can not take office simultaneously.

11. The rights and obligations of the council.

- 1) Understand the current operation status of the foundation.
- 2) Nominate council and supervisor candidates.

- 3) Consult the record of the council and accounting reports of the foundation's financial affairs.
- 4) Attend the council conference and perform the right of voting, take part in other activities of the council.
- 5) Provide advices for the development of the council.
- 6) Introduce resources and recommend volunteers for the council.
- 7) Take work as possible from the professors of the council.

12. The decisive office of this foundation is the council. The council performs rights as such:

- 1) Formulate and modify the regulations.
- 2) Elect and remove the chairman of the council, vice chairman of the council, secretary-general.
- 3) Determine important plan of activities, including the raise, management and plan of usage of the funds.
- 4) Budget annual income and determine the final settlement.
- 5) Formulate the rules and expectations of interior management.
- 6) Establish work affairs, branch office, representative office.
- 7) Determine the vice secretary-general and principals of main offices who are all nominated by the secretary-general.
- 8) Listen and deliberate the work report of the secretary-general, check the work of the vice secretary-general.
- 9) Determine the secession, combination and termination of the foundation.
- 10) Determine other vital affairs.

13. The council needs to convoke at least 2 conferences. The conference of the council is taken charged and hosted by the principal of council.

If 1/3 of the council members propose, a conference must be held. If the principal can not convoke the conference, the members who propose can elect a convoker. Convoking the conference of council, the principal or the person in charge needs to inform all members and supervisors 5 days earlier.

14. The conference can only be held if 2/3 of the members can be present, the propose of the conference is only approved if more than half of the present members vote for it.

Below are the decisions of important affairs, they need to be approved by the present members, proven valid if 2/3 of the members vote for it:

- 1) Modification of the regulations.
- 2) Elect or remove the principal of council, vice principal of council, secretary-general.
- 3) Vital donation and investment stipulated by the regulations.
- 4) The secession and combination of the foundation.

15. The conference can be held where the domicile of the foundation is or other place to where most members approve; or if part of the members can't be present for the conference, they can still attend via phone, video conference or other ways, so that they can hear the statement made by other members and their own statements can be heard as well, so the conference can be held via phone conference, video conference or other ways. Members that attend the conference via phone and video are counted into the quorum, as long as the number of members attended is maintained as the quorum, the decision approved by the conference has the same force of law as the decision made by the conference with the number of the members who are literally present maintained as the quorum. Any conference held by phone or video is viewed as a conference which is held at a particular place to where all members approved, as long as there is at least one member present at the place all the time.

16. The process of the conference of the board should be made into conference records, those that had formed resolution, should be made into board resolutions; the records of the conference and the resolutions of the board should be reviewed and signed by the attending board. If the board decision violates the law, regulations or articles of association, causing the foundation to suffer from property loss, the trustee associated with the decision making process should take responsibility. But

the trustee, being proven to have voted down the resolution and recorded in the conference records, would be spared the responsibility.

17. If over two-thirds of the foundation agree to and sign or pass sign in written form of the resolution, then there will be no need for the board to hold a conference to pass this resolution. The written form resolution and the resolution passed on formally held board conferences share the same legal validity, and should be both archived and saved in file.

18. The foundation sets up 1 supervisor. The term of the supervisor is the same as that of the board, he/she can serve consecutive terms after the full term.

19. The board, the close relative of the board and the finance and accounting personnel cannot serve as the supervisor.

20. The coming to be and removal from post of the supervisors :

- 1) Supervisors are selected and appointed by the major donor and the main business administrative unit.
- 2) Registration administration will appoint supervisors according to the demands of the work
- 3) The process to the change of supervisor is according to the process it came to be.

21. The authority and obligation of supervisors:

Supervisors inspect the accounting and finance data according to the procedures prescribed in the articles, the supervisory board will comply with the law and conditions of the article.

The supervisory observatory board conference, have the rights to doubt and give advice to the board, and should reflect the situation to the registration

administration, the main business administrative unit, and the administrative department in charge of taxation and accountancy.

Supervisors should comply to correlating laws and regulations as well as the articles of the foundation, and perform their duties faithfully.

22. The numbers of the board members who receive payment from the foundation should not exceed one third of the total number of members. The supervisors and board members who doesn't serving full time at the foundation cannot receive payment from the foundation.

23. When the board members encounters a situation where personal affairs are in relation to the interests of the foundation, they are forbidden to interfere with the decision of the matters concerned; the board members of the foundation, supervisors and their close relatives are forbidden to have any transaction behaviors with the foundation.

24. The board has chairman, vice chairman and secretary general, voted from the board.

25. The chairman, vice chairman, and secretary general should fulfill the conditions below:

- 1) They have great influence over the foundations' business fields.
- 2) The tenure age of the chairman, vice chairman and secretary general should not exceed 70, the secretary general serves full time.
- 3) Good health, can perform the normal duty.
- 4) Have full capacity for the civil action.

26. The candidates who has any one of these below cannot serve as chairman, vice chairman or secretary general:

- 1) Belongs to the country's in-service functionary
- 2) Those who have committed a crime and sentenced to public surveillance, criminal detention or imprisonment where less than five years have elapsed since the date of the completion of implementation of this deprivation
- 3) Persons who are in the process of or have once been deprived of their political rights
- 4) Those who have served as the chairman, the vice chairman or the secretary general in an illegal foundation that was revoked of its registration, and take personal responsibility for the foundations' illegal behaviors, where less than five years have elapsed since the date of the deregistration of the foundation.

27. If the residents of Hong Kong, Macaw, Tai Wan and foreigners are serving as the chairman, the vice chairman or the secretary general of the foundation, their residence in China should not be less than 3 months annually.

28. The chairman, the vice chairman or the secretary general serve under a 5 year term, they cannot serve over two consecutive terms. A passed vote by the exceptional process of the board, the inspection of the business executive unit and the approval and authorization of the registration administration is necessary if there is a special case of requires them to serve for more than two consecutive terms, then they can take office.

29. The chairman of the foundation is the legal representative of the foundation. The legal representative of this foundation cannot serve as the legal representative of other organizations.

The legal representative should be a Chinese mainland resident.

During tenure, the legal representative will take responsibility for any behavior against the terms of this article and the foundation management regulations. If the neglect of duty by the legal representative caused illegal behavior or property loss by the foundation, they should take responsibility.

30. The authorities of the chairman of the foundation

- 1) Convene and host the board conference.
- 2) Inspect the implementation of the board resolution.
- 3) Represent the foundation to sign important documents.

The foundation should be under the lead of the vice chairman and secretary general, the authorities of the secretary general are as listed below:

- (1) Host routine work; organize the implementation of the resolution of the board.
- (2) Organize the implementation of the annual public welfare activity plan.
- (3) Draft the plan for raising, management and use of the fund.
- (4) Draft the interior management regulation and policy, report to the board for approval.
- (5) Manage coordination of different departments.
- (6) Nomination of the employment or fire of the vice secretary general and financial manager, decided by the board.
- (7) Nomination of the employment or fire of the head of the departments, decided by the board.
- (8) Decision of the employment of full-time staff members.
- (9) Other authority entrusted by the article and the board.

Part IV The Management and Use of Property

31. The foundation is a non-public foundation, the main income of the foundation comes from:

- 1) The voluntarily donation of the initiator and specific donors.
- 2) Investment income.
- 3) Other legal income.

32. The foundation receives donations, it should abide by the laws, and satisfy the objectives of the article and the business scope of the activities of public welfare activities.

33. The assets and income of the foundation is under the protection of the law, any units, individuals must not seize, divide, or misappropriate them.

34. The foundation shall use all property according to the aims and purposes defined in the regulations, within the field of work for public service activities.

On the occasion that the donated supplies cannot be used in accordance to the main purposes of the foundation, The Foundation can, by law, put the supplies on auction or sale. The earnings shall be used for donation purposes.

35. The property of AITA Foundation shall be mainly used for:

- 1) Charity project financing, in accordance to the purposes of the foundation;
- 2) The purchasing of capital assets;
- 3) Salary, welfare and Administrative office expenses;
- 4) Purchases for research, evaluation and other professional services.

36. Major donations and investments are donations and investments concerning numbers of over 30% of the foundation's registered capital.

The council has established a professional Investment Management Committee. Said committee accepts delegates from the council, elaborates plans for the Foundation's annual major investments, and, upon the examination and approval of the council, makes decisions for planned investment activities, taking relevant management responsibilities.

37. In accordance to the 3 principles – legality, safety and efficiency, The Foundation shall maintain increase the value of funds.

38. The annual public service expenditures of this foundation, must not be lower than 8% of the balance from the previous year.

The salary, welfare and administrative expenditure of the foundation staff should add up to no more than 10% of the total annual outlay.

39. Upon the occasion that the Foundation should carry out charity projects, the foundation should disclose the categories of said public-funded projects, as well as the application and appraising processes.

40. Donators hold the right of requesting information on the use and management of donated goods, as well as giving comments and suggestions. The foundation shall, in time, respond truthfully to the donator's query.

Should the foundation breach the donating agreements while using donated goods, the donator holds the right to demand said foundation to abide by the agreement, or to propose to the People's Court, requesting revocation of the donation, as well as lifting of the donation agreements.

41. The foundation holds the right to sign a contract with the aided person(s), specifying the means of aid, the amount of financial aid, as well as the use and means of using said funds.

The foundation holds the right to supervise the usage of said funds. On the occasion that the aided person(s) should violate the agreements, the foundation holds the right to lift the funding agreements.

42. The foundation should execute the national unified accounting system, conducting financial accounting and establishing a sound internal supervisory system accordingly, to ensure the legality, accuracy and integrity of the accounting data.

The foundation accepts the legal supervision from the administrative departments in charge of taxation and accounting.

43. The foundation staffed with professional accounting personnel. A single accountant cannot be in charge of both the expenses and incomes. On the occasion that an accountant should be transferred or resigned, hand-over procedures must be attended to.

44. For the foundation, the business and accounting year, begins on 1st January, and ends on 31st December. Each year, before 31st March, the council examine and decide upon the following subjects:

- 1) Activities reports and financial accounts from the previous year;
- 2) Activities plans and budgets for the coming year;
- 3) Property inventory (the annual roll of donators and other relevant information).

45. On the occasion of annual inspections, leadership transitions, legal representative replacements and the settling of accounts, financial audits should be performed.

46. The foundation accepts annual inspections from the registration authority, according to the Foundation Management Regulations.

47. After passing annual inspections from the registration authority, the foundation shall disclose its annual report on media designated by said authority, and be subject to public inquiry and supervision.

Part V Termination and Surplus Property Disposal

48. The foundation should terminate under any of the following circumstances:

- 1) Upon completion of the aims and purpose listed in the regulations;
- 2) Upon the occasion that it is impossible to carry out charitable activities, while abiding by the aims and purposes listed in the regulations;
- 3) Upon the division, or merging of said foundation.

49. Should the foundation face termination, the council should report and ask for consent from the supervising operation department, within 15 days from the decision of the council, and apply to said department, for cancellation of registration, within 15 days after obtaining consent.

50. Before registering the cancellation, the foundation should establish settlement organizations under the instruction of the Registration Administration Department and supervising operation department, and complete the work of settling its accounts.

The foundation should register the cancellation at the Registration Administration Department within 15 days after completing the settling its accounts. The foundation should not hold any other activities during the settling of accounts.

51. The remaining property after cancellation should, under the supervision of the Registration Administration Department and the supervising operation department, be used for the following charity purposes:

- 1) As donations to another charity foundation;
- 2) As donations to specific disadvantaged groups.

On the occasion that the property cannot be used for any one of the listed purposes, said property shall be given to other charity foundations of the same nature and purposes as the foundation, and this donation shall be announced to the public.

Part VI The Changing of Regulations

52. Changes to these regulations should be reported to the operation supervising department within 15 days after passing the vote of the council. After consent from the operation supervising department, it must then be reported to the Registration Administration Department for verification and approval.

Part VII Supplementary Articles

53. This amendment of regulations passed the vote of the council on 3rd January 2015.

54. The council withholds the right of explaining this article.

55. This article shall take effect from the date of approval from the Registration Administration Department.

Objections received

Tajjin (AITA Foundation), China

a. NG/1063 – International Council for Game and Wildlife Conservation (CIC), Hungary.
CIC is concerned that AITA, as it is primarily an animal welfare organisation, could work against conservation efforts that involve the sustainable use of nature and natural resources (particularly in CIC's area of sustainable hunting).

Have asked for assurance from AITA that they are not opposed to sustainable hunting.

CIC feels that if AITA campaigns against hunting, then it violates Art 2, 3(h) and 7(d)

b. IN/1416, IAF, International Association for Falconry and Conservation of Birds of Prey, Belgium

The wording of this letter appears to have been taken from the CIC letter objecting to AITAs application.

Full letters of objections are available below.



Conseil International de la Chasse et de la Conservation du Gibier
Internationaler Rat zur Erhaltung des Wildes und der Jagd
International Council for Game and Wildlife Conservation

President

July 6, 2016

Ms. Inger Andersen

Director General

IUCN

Re: Objection to AITA Foundation for Animal Protection's Application for IUCN Membership

Dear Ms Andersen

After review of the AITA Foundation for Animal Protection's (AITA) application for membership of the International Union for the Conservation of Nature (IUCN), the International Council for Game and Wildlife Conservation (CIC) has some reservations as to whether AITA qualifies for membership.

We were not able to assess the content of AITA's website, which is in Chinese, however they have a Facebook page in English [1] and are mentioned in secondary sources such as newspaper articles. We note that they are involved in some laudable conservation projects, such as projects to reduce the illegal trade in ivory and pangolins of which China is a significant source of demand. We also note that AITA is involved in several animal welfare projects such as running an animal ambulance, campaigning against the extraction of bile from live bears and running animal shelters.

We are concerned that AITA is primarily an animal welfare organisation that also undertakes some conservation work. Unfortunately, it has been our experience that animal welfare organisations frequently work against conservation efforts that involve the sustainable use of nature and natural resources, particularly in the CIC's area of sustainable hunting. We are unable to determine this for ourselves from the content of the application form and Facebook feed and would like to seek an assurance from AITA that they would not oppose hunting on principle and regardless of sustainability.

The sustainable use of nature and natural resources is the second pillar of the Convention on Biological Diversity and embedded in IUCN's mission and vision. The IUCN also recognises that both subsistence hunting and recreational hunting for trophies or food can contribute to conservation. In recognition of the potential benefits of regulated and sustainable trophy hunting to communities and conservation, The Species Survival Commission of the IUCN (SSC) developed and released *Guiding Principles on Trophy Hunting as a Tool for Creating Conservation Incentives* [2] in 2012. The Sustainable Use and Livelihoods Specialist Group of the IUCN (SULi) in collaboration with SSC also recently released *A Briefing Paper for European Union Decision-makers regarding potential plans for restriction of imports of hunting trophies* [3] in response to the potential harm

to conservation caused blanket trophy import bans called for by prominent and well-resourced animal welfare organisations.

The sustainable use of natural resources is enshrined in Article 2 of the IUCN statutes. Article 3h requires members to influence policy to ensure that societies can benefit from the sustainable use of their natural resources. Article 7d also excludes organisations that pursue and carry out activities that conflict with the objectives of IUCN from Union membership. If AITA campaigns against hunting (something that IUCN supports), regardless of legality or sustainability, then it violates these statutes and should not be admitted as a member.

On the other hand, if AITA distinguishes between illegal, unregulated poaching and sustainable, regulated hunting. Then it is not in violation of the above IUCN statutes. In order to convince us that this is the case, we request that AITA clarify its position on subsistence and trophy hunting before the Council considers it for membership of the Union.

A common myth circulated about trophy hunting by animal welfare organisations is that it is driving the declines of several species, for example, lions, elephants and rhinos. The truth is that habitat loss, competition with livestock, illegal and uncontrolled poaching, depletion of prey populations and indiscriminate killing due to human-wildlife conflict are the primary causes of these declines [3]. On the other hand, well-managed trophy hunting makes habitat preservation a viable land-use strategy, promotes population recovery and benefits local communities who are incentivised to protect their wildlife [3]. AITA does laudable work reducing the demand for illegally traded wildlife in China, which is hugely important for conservation. We hope that they would not join the ranks of other animal welfare organisation that damage conservation efforts by opposing sustainable hunting.

Kind Regards



George Aman

President

Annexes to the Letter:

Annex 1: References

Annex 1: References

1. References

- [1] AITA Foundation, “AITA Foundation Facebook Page,” 2016. [Online]. Available: <https://www.facebook.com/AITA-Foundation-725061124260778/>. [Accessed 29 June 2016].
- [2] IUCN SSC, “IUCN SSC Guiding Principles on the Use of Trophy Hunting as a Tool to Create Conservation Incentives (Version 1),” International Union for the Conservation of Nature, Gland, 2012.
- [3] IUCN SULi, “Informing decisions on trophy hunting: A Briefing Paper for European Union Decision-makers regarding potential plans for restriction of imports of hunting trophies,” International Union for the Conservation of Nature, Gland, 2016.



Member of IUCN

Dr. Adrian Lombard
President
South Africa

Ralph R. Rogers
Vice President
for the Americas
United States of America

Janusz Sielicki
Vice President
Europe, Africa south of
the Sahara and Oceania
Poland

Keiya Nakajima
Vice President
for Asia
Japan

Majid al Mansouri
Vice President
MENA Region
United Arab Emirates

Adrian Reuter
Executive Secretary
Mexico

Antonio Carapuço
Treasurer
Portugal

Bohumil Straka, Ph.D.
Chairman
Advisory Committee
Czech Republic

Gary Timbrell
Executive Officer
Ireland

9th July, 2016.

Ms. Inger Andersen
Director General
IUCN

**Re: Objection to AITA Foundation for Animal Protection's
Application for IUCN Membership**

Dear Ms. Andersen

After review of the AITA Foundation for Animal Protection's (AITA) application for membership of the International Union for the Conservation of Nature (IUCN), the International Association for Falconry and the Conservation of Birds of Prey (IAF) has some reservations as to whether AITA qualifies for membership.

We were not able to assess the content of AITA's website, which is in Chinese, however they have a Facebook page in English and are mentioned in secondary sources such as newspaper articles. We note that they are involved in some laudable conservation projects, such as projects to reduce the illegal trade in ivory and pangolins of which China is a significant source of demand. We also note that AITA is involved in several animal welfare projects such as running an animal ambulance, campaigning against the extraction of bile from live bears and running animal shelters.

We are concerned that AITA is primarily an animal welfare organization that also undertakes some conservation work. Unfortunately, it has been our experience that animal welfare organizations frequently work against conservation efforts that involve the sustainable use of nature and natural resources, particularly in the IAF's area of sustainable hunting. We are unable to determine this for ourselves from the content of the application form and Facebook feed and would like to seek an assurance from AITA that they would not oppose hunting on principle and regardless of sustainability. The sustainable use of nature and natural resources is the second pillar of the Convention on Biological Diversity and embedded in IUCN's mission and vision. The IUCN also recognizes that both subsistence hunting and recreational hunting for trophies or food can contribute to conservation.

The sustainable use of natural resources is enshrined in Article 2 of the IUCN statutes. Article 3h requires members to influence policy to ensure that societies can benefit from the sustainable use of their natural resources. Article 7d also excludes organizations that pursue and carry out activities that conflict with the objectives of IUCN from Union membership. If AITA campaigns against hunting (something that IUCN supports), regardless of legality or sustainability, then it

violates these statutes and should not be admitted as a member. On the other hand, if AITA distinguishes between illegal, unregulated poaching and sustainable, regulated hunting. Then it is not in violation of the above IUCN statutes. In order to convince us that this is the case, we request that AITA clarify its position on subsistence and trophy hunting before the Council considers it for membership of the Union.

A common myth circulated about trophy hunting by animal welfare organizations is that it is driving the declines of several species, for example, lions, elephants and rhinos. The truth is that habitat loss, competition with livestock, illegal and uncontrolled poaching, depletion of prey populations and indiscriminate killing due to human-wildlife conflict are the primary causes of these declines. On the other hand, well-managed trophy hunting makes habitat preservation a viable land-use strategy, promotes population recovery and benefits local communities who are incentivized to protect their wildlife. AITA does laudable work reducing the demand for illegally traded wildlife in China, which is hugely important for conservation. We hope that they would not join the ranks of other animal welfare organization that damage conservation efforts by opposing sustainable hunting

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Adrian Lombard', with a stylized flourish at the end.

Adrian Lombard
President: International Association for Falconry and the
Conservation of Birds of Prey.

Reply to objections

REPLY FROM TAJIJIN (AITA Foundation), China – Received on 6 August 2016

Please find our reply to the objections as below:

We have reviewed the document dated 6 July 2016, which stated the objections from 2 different IUCN members on our application for membership.

We apologise that our current website which provides full information about our organisation is in Chinese, and that has caused difficulties for others who don't read Chinese to understand who we are and what we do. We promise the website will be updated with an English version in a timely manner.

The AITA Foundation for Animal Protection holds the principle of opposing hunting, especially trophy hunting and sport hunting. We see many debates on if trophy hunting and/or sport hunting contribute to conservation. It has been long and widely discussed that the income of such huntings may not be managed well to help conservation. More researches claim that the demand for wild animals stimulated by hunting also causes pressure on wild animal population.

We understand and respect the call for "sustainable use of nature and nature resources", however, we may not fully agree, for now, that hunting contributes to this goal as one of the conservation efforts, especially in developing countries where law enforcement is often weak and corruption isn't rare.

Though holding the principle of opposing hunting, since its establishment in 2011, AITA Foundation has not yet initiated any campaign against hunting. It is very unlikely we start one, and even we do, we would start from targeting the illegal ones first.

We believe it is not guilty to believe it is right to oppose hunting while supporting sustainable use of nature and nature resources. We believe, with the development of conservation researches, the definition of sustainability will be refined.

References:

—Trophy Hunting Fees Do Little to Help Threatened Species, Report Says, New York Times, June 13, 2016

http://www.nytimes.com/2016/06/14/us/politics/trophy-hunting-fees-do-little-to-help-threatened-species-report-says.html?_r=0

—Trophy hunting: 'Killing animals to save them is not conservation', CNN, May 20, 2015

<http://edition.cnn.com/2015/05/19/opinions/trophy-hunting-not-conservation-flocken/>

—Can Lion Trophy Hunting Support Conservation?, National Geographic, July 29, 2015

<http://news.nationalgeographic.com/2015/07/150729-lion-trophy-hunting-conservation-animals-cecil/>

—'Hunting for Conservation' Backfires, Science, August 27, 2010

<http://www.sciencemag.org/news/2010/08/hunting-conservation-backfires>

—Trophy hunting's contribution to conservation? Not much, CBS News, June 15, 2016

<http://www.cbsnews.com/news/trophy-huntings-contribution-to-conservation-not-much/>

Regards,
Sascha Su

Application from TAJJIN (AITA Foundation)

Response from IUCN China and Asia Regional Office

1) Are you aware of the existence of this organisation?

AITA Foundation is the first registered animal welfare organization, and is well-known in China for their work on various issues related to animal welfare. The founders of this Foundation are some famous CCTV journalists in China.

2) What is your relation/interaction with applicant, including how long have you known the applicant and how familiar are you with the applicant's activities/objectives/policies?

IUCN has had an interaction with AITA Foundation before the membership application was submitted. IUCN China had a meeting with Mr. ZHANG Xiaohai, former Secretary General of AITA Foundation, who introduced the programmes and policies.

3) Do you personally know any of the management/staff? If yes, which person/position and for how many years? Have you worked with/known that person or any other?

As mentioned above in no.2, IUCN had a meeting with the former Secretary General, Mr. ZHANG Xiaohai. However, he left the organization in August 2017. IUCN also interacted with Ms. SU Chang, Communication Officer of AITA Foundation, and assisted her regarding the membership application process. Ms. SU Chang has also left the organization. The current contact person of AITA Foundation is Ms. LU Ping, Executive Secretary. IUCN has been interacting with her to keep her informed of the status on membership application.

4) Are you satisfied that the organisation complies with criteria listed in Article 7 of the Statutes?

- the organisation's activities to date embody the conservation of the integrity and diversity of nature,
- they aim to ensure the equitable and ecologically sustainable use of natural resources;
- they aim to influence and encourage the meeting of IUCN objectives?
- Are they involved in any activities that conflict with the objectives of IUCN, i.e. that could be seen as conflicting with the conservation of the integrity and the diversity of nature and the sustainable use of resources?

There is no obvious evidence that indicates conflict with IUCN objectives. The primary work of this organization is aligned with IUCN's objectives of 'nature conservation', and 'animals' are very much part of it. AITA Foundation has been gaining recognition through their work on animals protection – 2018 is the year of dog in China. According to the 2017 Summary and 2018 Plan provided by AITA Foundation (further down in Chinese language), the Foundation has been and will be focusing on awareness raising, establishing animal welfare legislation, public communication and education on animals rights, wild animal conservation, educating youth to help obtain knowledge about animals and treat them in an ethical way.

5) Can you provide details of a/some project(s) this organisation was involved in (and to what extent) to support any of the above? (conservation track record)

There were four main programmes listed in the 2017 Summary.

- Stray animals welfare and protection: A medical van was operated by AITA Foundation. Cooperating with a veterinary hospital the van provided free visits for some stray animal rescue stations. Moreover AITA cooperated with Guiyang local government to provide free rabies vaccines for 9,019 local dogs.

- Wild animals: In July 2017 AITA co-hosted the 2nd Asia Black Bear Forum to promote the Asia black bear conservation. By organizing some events and activities with film stars AITA aimed to reduce the demand of pangolin products.
- Public communication: As the foundation was founded by some famous TV journalists AITA has the strength in communication and public awareness. Ta Radio is one of the flagship programme which broadcasts the stray animal care and wild animal conservation programmes.
- Youth education: During 2017 AITA worked together with more than 30 universities on animals' welfare and protection.

6) How can the applicant contribute in advancing IUCN's Mission?

AITA's Foundation's mission is:

Help People Understand Animals

Encourage People Respect and Care for Animals

Facilitate Legislation on Animal Protection

In our opinion, AITA Foundation can help influence the society and the government to take preventive measures and establish animal welfare legislation. Joining IUCN would further strengthen their cause as they would be connected to the international community, which would create a greater impact.

The Chair of the South and East Asia Regional Committee, Ma Keping, was not contacted since he had initially endorsed the application from Tajijin (AITA Foundation). His letter is available [here](#).

Previous feedback received from IUCN China office and Asia Regional office:

From: HOU Bo

Sent: Thursday, December 08, 2016 9:09 AM

To: KUMAR Raj

Cc: ZHU Chunquan

Subject: Re: Tajijin and Window for Environment

Dear Raj,

Please find the statement from Dr. Zhu, IUCN China Country office:

Dear Raj,

Thank you for your great help for AITA's membership application. Actually we met Mr. ZHANG Xiaohai, Secretary General of AITA Foundation, before AITA submitted the application. Mr. Zhang introduced AITA and its plan for the future. AITA was founded by some TV presenters in Beijing with the support of Tencent Foundation and Lao Niu Foundation. At beginning AITA worked for wildlife welfare and stray animals. With its growth and development Mr. ZHANG Xiaohai was appointed as Secretary General in 2015, who changed the mission of AITA. Now the mission of AITA is to help people to learn more about animals and to raise the awareness, change behavior, advocacy for policy and regulation reform. The programmes of AITA are mainly about the conservation of companion animals and wild animals. AITA has very good resources of communications and publicity.

Hope the information helps. If need more information please feel free to contact with us.

Best Regards,

Dr. Zhu
IUCN China Country Office

From: KUMAR Raj
Sent: 08 December 2016 03:30
To: GILMOUR-BIERI Fleurange
Cc: IUCN Membership; ZHU Chunquan; HOU Bo; SINGH TP
Subject: FW: Tajjijn and Window for Environment

Dear Fleurange,

Based on the recommendation from IUCN China Office as provided in the appended email above, ARO would like to support the application of AITA Foundation. We believe it will be a useful addition in IUCN Membership fold to have AITA Foundation as an IUCN Member.

Please let us know if you need any further information or clarification.

With best regards,

Raj Kumar
Membership Focal Point, IUCN Asia Regional Office



北京爱它动物保护公益基金会 第二届理事会第十一次会议 《2017年工作总结及2018年工作计划》

执行秘书长 陆萍

第一部分 2017年工作总结

2017年即将结束。由于前秘书长离任，下半年的工作方向和项目内容都有所转变，整体的工作思路将会侧重于宣传倡导。理事会新增了孙茜、傅园慧、尼格买提·热合曼多位理事，媒体人许蓬也在9月正式加入它基金担任秘书长一职，此外，执行团队也有了新变化。下面将逐一叙述、总结2017的工作内容。

一、执行工作

「流浪动物项目」

• 移动医疗车

2年摇号未果，执行团队根据官方建议又申报了“专项作业车”的上牌流程，最终于10月完成“医疗车”上牌（京Q-25SV5，轻型非载货专项作业车）。就此，它基金“医疗车”可正式运行。



更名后，我们迅速完成了：

第一场线下活动：“医疗车”率先来到中国传媒大学，与CAPU中传动物保护社团联合举办了一场救助流浪动物的宣传、科普活动；

配备了固定班底：配备了项目执行专员，工作职能除司机之外还将负责每次活动的摄影、编辑、新闻稿撰写等多项工作；



确定了医疗合作方：已与美联众合动物医院签署战略合作，授权美联众合为“医疗车”的官方兽医合作机构。美联众合将提供免费的兽医团队、专业的出车流程、医疗设备及药品支持。

开拓了捐赠伙伴：已与默沙东(中国)有限公司达成了合作意向，对方将为“医疗车”捐赠日常所需药品 / 疫苗。

制定了2018年目标：将不少于出车30次，包括领养活动 / 公益市集的静态展示、社区义诊、流浪动物救护中心义诊，受益动物1000余只（主要服务对象为救助小院，通常一个救助小院的动物数量为200只左右）。

制定了2018年宣传计划：每次出车不少于10家媒体报道，全年不少于5次明星 / 网红的直播活动；

· 针爱行动

“灰丝带”为“针爱行动”项目的前身。我们听从了专业互联网筹款平台的建议，若项目需要更多公众支持，则名称应更简洁易懂，故对外正式更名。

2017年“针爱行动”来到贵阳，与当地政府紧密合作，完成了当地4个乡镇的狂犬病春防行动。为当地9019只狗注射了狂犬疫苗，覆盖率达到87.6%，有效控制了当地狂犬病的发生风险。

（“针爱行动”的项目执行原则，遵循世界动物保护协会的科学建议：只要一个地区70%以上的犬只注射了疫苗，这个地区的狂犬病就不会蔓延。一方面从根源上控制了狂犬病的爆发，另一方面也制止了大规模捕杀犬只的行为，当地的狗和村民，都得到了健康和安全的保障。）

今年9月，“针爱行动”被中国公益慈善项目大赛列为**全国百强项目**。

年底，我们接到了振奋人心的消息：贵州省人大常委会颁布的《贵州省动物防疫条例》通过，规定饲养人未给犬接种狂犬疫苗且拒不改正的，最高罚款1000元，该条例将于2018年1月1日起施行。在推动政策改变的进程中，它基金发挥了自己的价值。

贵阳市动物疫病预防控制中心透露，虽然条例颁布，但思路是城镇强免，乡镇逐步推进，在全面落实之前，我们依然会与当地政府持续合作。

年底，它基金与默沙东(中国)有限公司达成了2018年疫苗捐赠的合作意向，并会借助默沙东往年的免疫执行路线，通过与贵州的合作进而尝试向全国各地推广。





· 救助基地改良项目

红石榴流浪动物救护中心（简称：“红石榴”）的改造，是它基金前两年重点开展的项目，从硬件到软件各方面的改造，作为辅助方，我们在取得一些成绩的同时，也经历了不小考验。

在张永力理事的帮助下，2017年初中国服饰控股有限公司为它基金赞助了一场俄罗斯丑角剧《下雪啦》观影会，同时还举办了一场主题为“流浪狗回家之路”的筹款会。当天邀请了800多位支持者参与活动，并为救助基地改良项目带来了近6万元的善款。



经过一年零十个月，它基金已为“红石榴”搭建了一套可持续的救护中心运营系统。经双方评估，已到了最好的时点，“红石榴”将带着近两年沉淀的成功经验独立运营。当然，它基金的帮助并非就此结束，我们依然在狗粮募集、设备购置、领养宣传等方面助力“红石榴”的稳定发展。独立运营后的“红石榴”延续了“爱它总动员”领养活动，截至11月底，已成功领养出15只。合作期间推出的“云养狗”项目“红石榴”也在独立运行，它基金将持续给予技术上的支持。

· 暖冬行动

【送狗粮】

今年元宵节，它基金与玛氏宠物合作，为北京、上海、西安三地的流浪动物救助基地捐赠了价值10万元的宠物粮，同时进行了“流浪猫狗幸福年夜饭”的直播，获近4万在线观看量。

此外，它基金理事张永力先生捐赠了10万元用于狗粮购置，**在此深表感谢。**

12月底，雀巢拟向它基金捐赠价值140万元的宠物粮以覆盖更多的救助基地。

【狗垫众筹及发放】

除了每日必需的伙食外，流浪动物的保暖所需似乎没有被广泛关注。10月起，它基金走访了北京周边现有流浪动物小院数十家，发现流浪狗的防寒问题迫切需要解决。12月初，我们在腾讯乐捐发起了1000张狗垫子的众筹，初期将覆盖北京5-6家救助基地，切实解决流浪狗过冬保暖的问题。

【猫窝发放】



今年冬季的猫窝投放，它基金与“衣二三”（时尚女装租衣App）品牌跨界合作。回收网友的闲置衣物用专业技术压制成猫窝，不仅闲置衣物得到了很好的利用，也解决了流浪猫的保暖所需。活动获得了陈乔恩等十几位明星的支持。目前，已向北京的8所高校和7个社区投放了65个猫窝。

• 马路天使

“马路天使”是它基金和宠慕公司联合发起的公益行动，今年4月在北京制作发放了1000份“马路天使”工具包（用于收殓动物遗骸）。经过一年的执行，北京已有600多位司机成为了“马路天使”。目前上海、西安等城市的动保组织也希望它基金授权加入本项目，明年将逐步开展跨省合作，以完成流浪动物生命的善终。



• 北京领养日

鉴于“北京领养日”是拥有良好社会影响力与发展前景但缺乏资质的民间机构，今年，我们持续开展了合作，在资金监管上给予专业的帮助，帮助有意向的资金实际转化为动物保护的捐款。

「野生动物项目」

• 黑熊保护项目

今年7月，我们与世界动物保护协会共同发起的第二届“亚洲黑熊论坛”。目的是为促进我国熊胆制品行业的转型和活熊取胆产业的退出，推动社会各界探讨养熊业转型和退出的可行方案、推动亚洲黑熊的保护工作。

• 穿山甲保护项目

今年3月，我们在腾讯乐捐上成功募集到23万元善款用于穿山甲项目的宣传。针对穿山甲制品大量用于新生妈妈通乳的市场现状，并于母亲节期间在北京、上海和浙江的200多家妇产医院精准投放“拒用穿山甲制品”的Wi-Fi广告。据统计，这三个地区的穿山甲消费占全国总消费的一半以上。这次宣传为我们带来了7000名粉丝。



除了线上募款外，我们还获得了中华环境保护基金会“极危穿山甲抢救行动”项目20万的资助支持。邀请理事孙茜以新生妈妈的形象拍摄了“帮小穿山甲留住妈妈”的公益海报。并12月中旬登录1700块人民日报数字屏媒，覆盖人群近千万人次。

此外我们举办了两场“保护穿山甲”的亲子公益课堂，实地与孩子们分享穿山甲的动保知识。

「公众传播项目」

• 它基金自媒体

今年年底，我们招募了一名新媒体运营实习生，专职负责新媒体运营的工作，着力打造它基金的自媒体形象，将传播能力提高，并且保持良好的善款转化功能，实现自我造血。

今年8月起，它radio订阅号再次启用，更名为“它基金日志”，维持动保新闻热度，不再局限于音频内容，而是生产更多样的传播产品。动物趣闻、项目推广、项目筹款都可以在它基金的服务号和订阅号同步推送。

灵析平台的持续发展（自有粉丝维护平台），可以实现短信、邮件、微信消息模版（类似信用卡还款通知）的推送。

其他的媒体平台也在一一建立，逐步形成360度整合传播的它基金自媒体。

自2016年5月开通打赏功能后，截至目前，微信打赏收入已累积**16.2万元**。

「青少年教育项目」

• 在校不养宠

今年它基金与30多所高校联合举办了“在校不养宠”宣传活动。在校大学生是一个充满爱心的群体，项目策略是正确引导大学生的爱心，争取减少校园内的养宠行为，从源头上减少流浪动物的数量。我们在蚂蚁金服平台众筹到上万元的活动经费，已陆续提供给各个大学举办活动时使用。

• 爱它少年成长计划



通过线下活动对幼儿和家长进行正面影响，触发亲子群体的二次公益行动。

每次亲子活动，我们都为儿童准备了“动物保护小卫士”称号的小证书，一来可以对孩子参与公益的行为给予肯定，二来也有助于培养青少年保护动物的责任心。在颁发证书的同时，我们会征集孩子或家长的信息，并邀请他们与家人加入“爱它少年成长计划”月捐项目，每月捐助1.9元，定期向他们推送动保知识文章与活动，通过定期的联系不断强化此群体的动物保护信念，争取将他们变成它基金和动保理念的传播者。

二、线上募款工作

【发展月捐人】：它基金在灵析平台率先开发了月捐功能，为它基金实现更多非限定性捐款，截止目前，已为它基金带来**147,587.9**元的收入，共收获了近3000名月捐人。其中有2000人是它基金与合作伙伴“萌爪医生”的合作推广而产生的。明年，我们将开启更多类似的合作方式，借合作伙伴庞大的粉丝群进一步扩大月捐群体。

以2017年11月为例，当月产生的月捐收入为：**58320.37**，基本上已可以覆盖办公室月度行政费用。

【互联网筹款】：2017年，我们持续在各大线上募款平台发布公益项目，同时与各平台负责人建立了良好的合作关系，通过支付宝蚂蚁金服平台、腾讯乐捐、新浪微公益品牌捐共筹集**284,924.42**元。

三、行政工作

2017年，随着经历了管理团队的变动，工作思路也有很大的转变，为应对新一年更具挑战的工作，它基金新进实习生2人，目前全职员工数量为6人。

• 财务管理

随着业务量的增加，从2017年11月开始，它基金配备了专门的人员接手出纳工作，同时财务志愿者和工蚁坊进行更有效的配合，细化了对各项收入和支出的记录和分析，为募款工作及项目管理工作的改善提供了更为详尽的财务数据。

• 制度建立

2017年，它基金已经完善了多项制度，在基金会中心网评定的基金会透明指数（FTI）排名中，**它基金以100分满分的成绩排名全国第一。**



四、财务报告

• 收入、支出和资产情况

截至2017年12月15日，它基金资产总额440万元，其中货币资金余额44万元。净资产总额为436万元，其中非限定性净资产-253万元，限定性净资产690万元。净资产比2016年底减少52万元。

截至2017年12月15日，基金会共取得收入243万元，均为现金捐赠；实际计总支出295万元，其中业务活动成本累计支出268万元，管理费用支出23万元。

截至2017年12月15日，管理费用占总支出的8%，未超出管理条例的15%。慈善活动支出的应为上年末净资产的7%，应为342,204.94元，实际支出2,677,409.64元，**符合规定标准。**

• 投资

根据理事会决议，敦和慈善基金2015年捐赠的敦和种子基金300万元用于投资“敦和慈善事业基金”。鉴于“敦和慈善事业基金”的稳健性和投资回报率令人满意，它基金将继续投资“敦和慈善事业基金”，同时也将密切关注其它更加优质的投资产品。

第二部分：2018年工作计划

如上所述，2018年我们的工作重心将转向宣传倡导。

2018年是农历的狗年，对它基金是极具传播优势的。因此流浪动物的保护项目将占有很大的比重。针对“狗年”的工作，自10月执行团队已开始接洽各个合作方，寻找明星代言人，设计关于流浪动物的饮食、温饱、健康、善终等全方面落地项目，并已对接好执行方。而整个计划的亮点，是即将推出的**工作犬福利保障计划**，它基金拟对现役犬的福利、退役犬的领养与政府开展合作，项目高度与它基金的官方身份完美结合，除了发挥其公益价值外，也会帮助我们在众多筹集狗粮的同质化项目中，树立无可替代的优势。





青少年动保教育也将是主要的工作方向。它基金拟在2018年推出“**爱它少年成长计划**”。以线上传播为主要传播渠道，配合线下互动体验活动，立体全方位地抵达目标受众。计划针对学龄前儿童、青少年与大学生三个群体，根据不同年龄段人群的成长特点，将动物保护的理念进行传播和教育。这也是它基金的一个长线公益项目，推出每月小额捐赠，定期得到捐赠用途的回馈与活动推荐，让孩子有机会深度参与公益，培养新一代的积极公民。随着推广渠道的覆盖，参与孩子人数的增加，也将实现它基金的自我造血。

为保持项目的多元化，**野生动物保护项目**也将持续进行，更多的融入公众宣传与教育项目中，如遇适当时机，还会开展与研究型公益同行的互补合作。

法律推动依然是它基金的责任与使命所在，明年我们会密切关注相关事件与政策信息，适当的时候快速集结各方力量做推动。

相对各项工作的开展，重中之重是**持续发展月捐人**，将月捐嵌入到每个项目和每次宣传中。因月捐的收入均是非限定性捐赠，可以灵活运用于各项目，包括行政成本，当这部分费用被覆盖后，我们的生存问题才能彻底解决。更多的月捐收入还将实现项目体系的扩大，发展更多的员工。我们可以心无杂念的去规划自己的路线，而不再因生存问题去配合捐赠方，它基金的发展与壮大才能真正走在进程中。

2016年《慈善法》颁布之后，所有公益组织经历了重新认定，我们已不是唯一的动物保护公益基金会，这个领域加入了更多同盟军。其实从建立之初至今短短6年半，所处环境已发生巨大改变，互联网时代给予了我们很多机会，我们珍惜这些机会，也找到了好的工作方法。我们相信，**明年将是它基金提升社会影响力最重要的一年**。即便拥有更多竞争者，但正是因为如此，动物保护的声音才能被放大，也会迫使我们打造它基金的竞争力。我们依然经历着一个最好的时代。

以上是它基金2017年的工作报告和2018年工作计划，请讨论并提出意见。感谢理事们这一年来对执行工作的支持，也感谢新加入的四位理事对它基金与动物保护事业的认可。2018年希望我们能走的更近，共同为它基金的发展献计献策。

附件1：流浪动物保护项目-「关爱单身狗」落地项目概览：

项目名称	项目介绍	实施时间
移动医疗车 - 生命伊始的关爱	2018年，它基金移动医疗车将开往社区、高校、北京周边流浪动物救助中心，为流浪动物送去绝育、免疫与体检等免费医疗服务。	全年



<p>暖冬计划 - 饮食与安居的保障</p>	<p>冬天，对救助中心的流浪动物通常是一个很大的考验，随着天气变冷、热量所需，对粮食的需求量也会增大，狗粮是救助中心比较大的开销，也是流浪动物的日常所需，保证营养，拥有健康的身体，才能帮助它们走入新的家庭，同时也缓解了基地负责人的压力，帮助他们做更专业的救助。每年10-3月，它基金都会开展暖冬行动，为救助基地筹集过冬猫、狗粮和防寒狗垫子，与社区合作，为流浪猫制作与发放过冬猫窝。</p>	<p>3-10月</p>
<p>针爱行动 - 打造与它的安全</p>	<p>“针爱行动”是它基金开展的一项科学防控狂犬病项目，倡导正确的狂犬病知识，避免因误解产生大面积犬只扑杀行为。2017年4月，我们在贵阳执行了狂犬病春防计划。此举得到了地方政府的高度认同与配合。2018年我们将复制更多狂犬病高发的边远山区。</p>	<p>3-4月</p>
<p>工作犬福利保障计划 - 帮助人类的朋友</p>	<p>关爱工作犬将是狗年计划中重要的组成部分，首要开展军警犬福利保障。2018年它基金将与地方军队合作，为偏远北方部队的军警犬建盖带有取暖装置的浴室，减少军警犬因洗澡困难造成的皮肤病，以此为出发点做全面的健康与福利保障工作。</p>	<p>全年</p>
<p>马路天使计划 - 生命的善终</p>	<p>马路天使计划由它基金与宠慕宠物殡葬公司在2017年联合开展。该计划将在北京招募1,000位爱心司机，并为他们免费提供必要的工具用于收敛流浪动物遗骸。这样司机在街头看到动物尸体时，可以及时将它们收敛并送去火化。宠慕宠物殡葬公司将提供1000只流浪动物免费公益火化服务。截至目前已招募600位“马路天使”爱心司机。2018年计划在上海、西安等城市陆续推出。</p>	<p>全年</p>

附件2：青少年教育项目-「爱它少年成长计划」落地项目概览：

年龄段	宣教目的	传播形式 / 计划	匹配资源
<p>学龄前儿童 (2-6岁)</p>	<p>认识、了解动物，建立人与动物和谐共处的世界观。</p>	<ul style="list-style-type: none"> 制作相关影视、音频节目 线下亲子公益课堂 出版儿童绘本 制作幼教周边（教具、玩具、文具） 	<p>“凯叔讲故事”（APP）、老牛儿童探索馆、金宝贝早教中心、北外青少等。</p>
<p>青少年群体 (7-16岁)</p>	<p>学会友好的对待动物，关爱、善待动物。</p>	<ul style="list-style-type: none"> 邀请偶像代言人，为群体树立榜样 举办线上与线下的粉丝互动公益项目 制作创意周边（T恤、水杯、帆布袋等） 投放相关影视、平面宣传内容 	<p>拟邀请王俊凯为它基金代言人。</p>
<p>大学生群体 (19-23岁)</p>	<p>用行动去保护动物，尊重生命，成为积极公民。</p>	<ul style="list-style-type: none"> 制作品牌联名周边 与校内社团进行深度合作 开展线上、线下公开课 与电影、游戏、音乐节跨界合作 	<p>奇葩说、网易公开课、知乎Live、TED演讲等。</p>

93rd Meeting of the IUCN Council, Gland (Switzerland), 19-21 November 2017

Agenda Item GCC/2.1.1

9th Meeting of the Governance and Constituency Committee

Revised membership application/review and due diligence process

Origin: Director General

REQUIRED ACTION:

The Governance and Constituency Committee is invited to **CONSIDER** the revised membership application/review and due diligence process, as proposed during its call on 24 July 2017, and to **RECOMMEND** Council to endorse it. The revised process includes but is not limited to the fact that:

- a) All applications, regardless of the Secretariat's view of whether or not they comply with the Statutory requirements¹, shall be circulated to:
 - i. Members so they can express their opinion on the applications;
 - ii. Regional Councillors and National or Regional Committees for feedback.

- b) [It is acceptable and appropriate that Members be made aware of the fact that certain criteria are not met by including a note on the assessment form]².

Background

One of the functions of the IUCN Council is to admit Members [Statutes Art. 46(i)].

The application and admission process for any organisation/institution interested in becoming an IUCN Member is governed by the [IUCN Statutes and Regulations](#) (Articles 6 to 11 of the Statutes and Regulations 7 to 20).

The full application/admission process was explained to Council during its Retreat in February 2017 (see [Annex I](#)).

During the Governance and Constituency Committee (GCC) call on 24 July 2017, Dr Rosie Cooney, Chair of the Sustainable Use Livelihood joint working group of the SSC and CEESP, was invited to make a presentation on "Sustainable Use" to clarify specific aspects to GCC. This helped GCC have a better understanding of this issue and led them to discuss ways to strengthen the review of membership applications and the due diligence process. The following was discussed and agreed:

¹ The exception is for cases in which the applicant does not meet one or more of the requirements listed in regulations 4-6 (eg. 3 years' existence, not-for-profit, independent board). In such cases, the Secretariat has the discretion not to forward the applications for consideration by Members.

² Option b)'s validity depends on GCC/Council decision on the process.

1. Process for membership applications not meeting IUCN Statutory requirements

It was agreed that a strengthened review of membership applications and due diligence process should be undertaken. The Secretariat had explained that from time to time it receives applications that in its opinion (based on the assessment) do not fulfil the criteria to become a Member of IUCN. The membership Unit asked if the Secretariat has the authority to reject an application if it considers the applicant does not meet some criteria. The Legal Adviser ruled that Members have the right to consider each complete application. Her detailed opinion is available [here](#) and as [Annex II](#).

On 24 July, the GCC agreed unanimously to the following process. This process is pending approval from GCC/Council before action can be undertaken by the Secretariat:

- a. The Secretariat brings to the attention of the GCC any concerns they have regarding admissibility of applicants as Members³;
- b. The GCC gives an opinion on whether or not the applicant meets the criteria for membership and
- c. The applications accompanied by the opinion of the GCC, referred to above, are submitted to Members for their consideration;
- d. GCC makes their final decision and recommendation to Council or the Bureau, as the case might be.

2. Improved due diligence process for membership applications

The Chair explained that the question of due diligence comes up frequently in relation to the different challenges GCC faces in considering membership applications. There has to be a way of verifying the elements presented in an application. To date, GCC has relied on opinions of the Regional Offices and the National and Regional Committees, where they exist. This is good, because in principle they know the organisations applying for membership and can provide a clear understanding. But where questions cannot be easily answered, there is no process to help the GCC to carry out their mandate to verify what they are being told.

On 24 July, GCC agreed the following:

Actions undertaken by the Secretariat

- e. Based on the questions proposed by Dr Cooney, the Secretariat drafted a series of questions for the membership application form.
- f. The Secretariat revised the assessment form to include these questions and the additional checks to be made for the due diligence process.
- g. It also drafted some questions to be used as guidelines for endorsement letters.
- h. The Secretariat sent any controversial applications (or when the applicant was not meeting the admission criteria) to the relevant Regional Councillors, National Committees and Regional or National office and asked for their advice on the application. This feedback is not shared with Members, it will be only be used to help GCC/Council to make its decision on the admission.

Actions pending / Next steps

1. GCC to discuss and decide whether to approve, or not, the additional questions for the membership application form and the questions to be asked to controversial applicants (when relevant only) - [see below](#).
2. GCC to approve, or not, the revised membership application form, including the additional questions ([Annex III](#)).
3. GCC to approve, or not, the revised assessment form for reviewing membership applications, including the additional questions and checks to be made for the due diligence process ([Annex IV](#)).
4. GCC to approve the questions for endorsers⁴, Councillors and National or Regional Committees - [see below](#).

³ The Secretariat reserves the right to decline during the review process any application that doesn't meet Regulations 4-6 (3 years of existence, not-for-profit status, independent board, etc.).

5. GCC to approve the overall “revised membership application/review and due diligence process” and requests its full endorsement by Council before it can be implemented⁵ - refer to options and graphs below.

Proposed questions for membership application form

(These questions relate mainly to Article 7 of the IUCN Statutes. Refer to [Annex V](#) for background information on Article 7).

- 1) Provide concrete examples of how your organisation contributes to conserving the integrity and diversity of nature?
- 2) [IUCN's Sustainable Use Policy](#) is central to the achievement of its objectives. This policy requires that all use of natural resources be sustainable, but does not suggest that every species or ecosystems should be used. Please provide concrete examples of how your organisation advances the sustainable and equitable use of resources.
- 3) Does your organisation have a substantial record of activity in the conservation of nature? Provide concrete examples in the “Achievements” section of this form.
- 4) Does your organisation carry out any activities that could be seen as conflicting with the conservation of the integrity and the diversity of nature and the sustainable use of resources? If so, please specify.
- 5) How do you ensure that if one of your organisation’s campaigns is successful, the results do not negatively impact other species and/or areas of conservation including on the work of existing IUCN Members?

Proposed questions for controversial applicants (to be asked for new applicants only when relevant and until the revised application form is published)

- 1) [IUCN's Sustainable Use Policy](#) is central to the achievement of its objectives. Please provide concrete examples of how your organisation advances the sustainable and equitable use of resources.
- 2) How do you ensure that if one of your organisation’s campaigns is successful, the results do not negatively impact other communities/areas of conservation?

Proposed questions for endorsers⁶/Councillors/National or Regional Committees

- 1) Are you aware of the existence of this organisation?
- 2) What is your relation/interaction with applicant, including how long have you known the applicant and how familiar are you with the applicant’s activities/objectives/policies?
- 3) Do you personally know any of the management/staff? If yes, which person/position and for how many years? Have you worked with/known that person or any other?
- 4) Are you satisfied that the organisation complies with criteria listed in Article 7 of the Statutes?
 - o the organisation’s activities to date embody the conservation of the integrity and diversity of nature,
 - o they aim to ensure the equitable and ecologically sustainable use of natural resources;
 - o they aim to influence and encourage the meeting of IUCN objectives?
 - o Are they involved in any activities that conflict with the objectives of IUCN, i.e. that could be seen as conflicting with the conservation of the integrity and the diversity of nature and the sustainable use of resources?
- 5) Can you provide details of a/some project(s) this organisation was involved in (and to what extent) to support any of the above? (conservation track record)
- 6) How can the applicant contribute in advancing IUCN’s Mission?

⁴ Endorsers will be asked to answer these questions/confirm that the applicant meets these requirements, through their endorsement letter.

⁵ The full process, in particular the assessment form and the practice related to the endorsement letters, was endorsed by Council at its 82nd meeting in November 2013 (Decision C/82/23). More information is available in Annex I. The decision was updated by the 92nd Council (Decision C/92/14) to apply also to indigenous peoples’ organizations.

⁶ Letters of endorsement should address the set of questions approved by GCC. If not all addressed, applicants should not be penalized.

Overall revised application/review and due diligence process

The Secretariat has considered GCC's requirements made during its call and proposes the following two options (new steps highlighted in blue):

Option 1 :

1. **Application is received** by the Membership Focal Point (MFP) who does a first review.
2. **Membership Focal Point (MFP) forwards request for information to Regional Councillors and National (or Regional) Committee** and ask them to reply to the proposed questions for each new application. The feedback received from Councillors/Committees, and Regional office should not be added to the assessment form but sent to HQ as an e-mail or word document as soon as possible and before the preparation of documents for Council/Bureau. This feedback will be shared with GCC/Council for final decision.
3. **Applications including feedback from Councillors/National Committees/Regional/National offices sent to Membership Unit (MU) at IUCN HQ**. If some Councillors or Committees have not responded, the applications should be sent to MU anyway. Their feedback should be forwarded to MU once received by MFPs. In the meantime, they should be reminded to reply as soon as possible.
4. **Review undertaken by MU**. Final checks made and concerns raised (if any) to GCC, through the assessment form and a separate document listing the concerns and suggested messaging for circulation to Members, with regards to certain membership applications which don't meet the criteria set out in Art. 7 of the Statutes.
5. GCC approval or not of the messaging within one week.
6. **Secretariat to circulate applications to Members**, including assessment forms. The assessment form duly completed should clearly indicate whether or not the applicant meets a requirement or not (by yes/no/? (in case of uncertainty)). The general message confirmed by GCC will be added at the end of the form in the comments section.
7. Objections/no objections (or concerns) received from Members.
8. **Applicants which received objections are contacted and have three weeks to reply to the objections.**
9. **Additional people are contacted (for due diligence process)** as necessary and as determined by the GCC Chair and/or Secretariat.
10. **Full application documents are prepared for GCC consideration**. Documentation related to applications which received objections or concerns (from Members/Councillors/National or Committees, Secretariat) will include the following (application form, assessment form, statutory documents, endorsement letters, objections, reply to objections, due diligence process report, i.e. feedback from Councillors, National or Regional Committees, Secretariat).
11. **Council/Bureau makes the final decision on membership applications** following GCC's recommendations made based on all information received from Secretariat.

Option 2 (changes compared to option 1 are indicated in red and strike-through):

Steps 1-3: Same as above

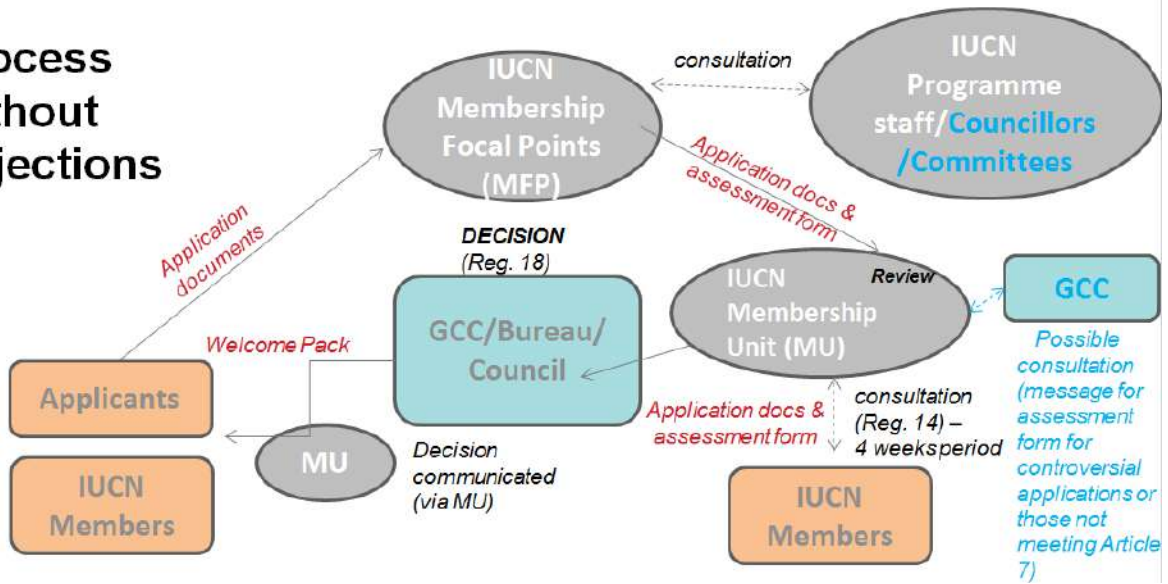
4. **Review undertaken by MU**. Final checks made and concerns raised ~~to GCC~~, through ~~the assessment form and a separate document listing the concerns, with regards to certain membership applications which don't meet the criteria set out in Art. 7 of the Statutes.~~ This document would only be shared with GCC/Council at the time of considering the membership applications (before a Bureau/Council meeting).
5. ~~GCC approval or not of the messaging within one week~~
6. **Secretariat to circulate applications to Members**, including assessment forms. The assessment form duly completed should clearly indicate whether or not the applicant meets a requirement or not (by yes/no/? (in case of uncertainty)). ~~The general message provided by GCC will be added at the end of the form in the comments section.~~

Steps 7-11: Same as above

It is important to note that option 1 described above may lead to delaying the circulation of the applications to IUCN Members, which may lead to not having all the necessary information on time for Council/Bureau meetings (objections, replies to objections, due diligence process information). The Secretariat will do its utmost to meet these new requirements not taking into consideration time required by GCC to review the applications and confirm the relevant messaging for the assessment form. Option 2 would guarantee no delay in the process.

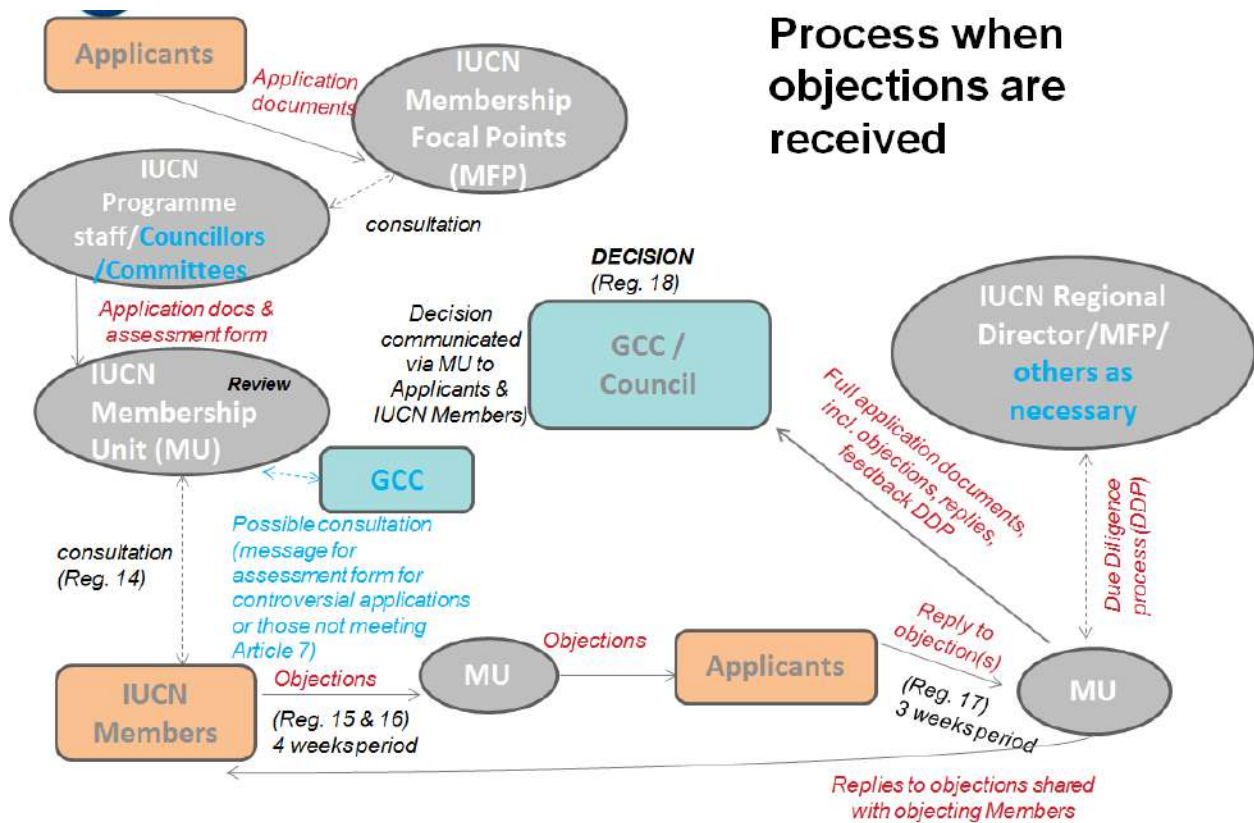
Application/admission process (when no objections are received) - (Revised process indicated in blue)

Process without objections



Current application/admission process (when objections are received) - (Revised process indicated in blue)

Process when objections are received



IUCN Council Retreat, 6-7 February 2017

Information note for Topic 4

Process for Membership application and admission/adhesion and recognition of National and Regional Committees

One of the functions of the IUCN Council is to admit Members [Statutes Art. 46(i)].

The application and admission process for any organisation/institution interested in becoming an IUCN Member is governed by the [IUCN Statutes and Regulations](#) (Articles 6 to 11 of the Statutes and Regulations 7 to 20).

Deadlines for receipt of membership applications are **31 March, 30 June, 30 September and 31 December** of each calendar year (Regulation 12).

IUCN membership categories are the following:

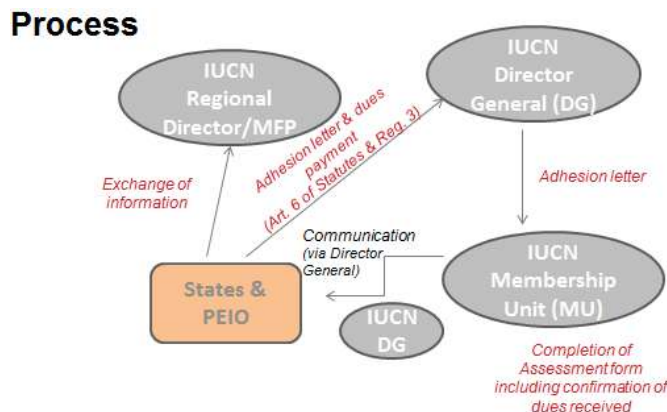
- Category A: (a) States (ST) and Government Agencies (GA)
(b) Political and/or economic integration organisations (PEIO)
- Category B: (c) National non-governmental organisations (NGO)
(d) International non-governmental organisations (INGO)
- Category C: (e) Indigenous Peoples' Organisations (IPO)
- Category D: (f) Affiliates

In November 2013, Council endorsed the following two key elements of the membership admission process:

- the assessment form (Annex I and II), developed by the Secretariat to review applications received from organisations/institutions seeking membership of IUCN, or to ensure that States and PEIOs wishing to adhere to IUCN fulfill the required admission criteria set out in the IUCN Statutes and Regulations;
- the practice related to letters of endorsement for Members in categories other than Category A, which is part of the overall application review process (refer to information on page 3).

1) Adhesion process for States and Political and/or economic integration organisations

Article 6 of IUCN Statutes indicates that “States¹ or political and/or economic integration organisations shall become Members of IUCN by notifying the Director General of their adhesion to these Statutes, effective upon payment of the first year’s membership dues”.



¹ Article 5(a) of the Statutes indicates “States shall be those which are Members of the United Nations or any of its Specialized Agencies, or of the International Atomic Energy Agency, or parties to the Statute of the International Court of Justice”.

- For adhesion of States (ST) and Political and/or Economic Integration Organizations (PEIO), the process is defined in Article 6 of IUCN Statutes and Regulation 3. **There is no application process as such and no decision required by Council.** It is a sovereign right for ST and PEIO to adhere to IUCN. However, to ensure that a ST or a PEIO meet all the required admission criteria as stated in the IUCN Statutes and Regulations, an assessment form for adhesion of States and Political and/or Economic Integration Organizations (Annex II) has been established by the IUCN Secretariat to facilitate its work.
- The assessment form details the required IUCN membership criteria stated in the IUCN Statutes and Regulations, and the payment deposit, which must be received with the letter of adhesion.
- The letter of adhesion is reviewed by the Membership Unit, Union Development Group (UDG), which also completes the assessment form, to determine whether or not the letter of adhesion meets the required criteria stated in the IUCN Statutes and Regulations, and ensuring that the payment deposit has been received.

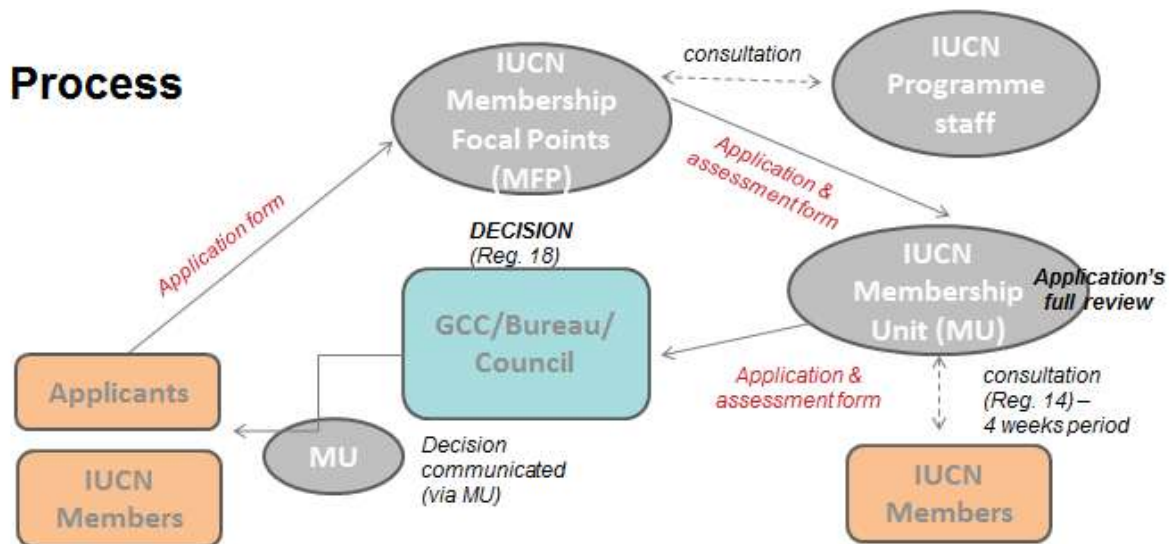
2) Application/admission process for Government agencies, national and international non-governmental organisations, indigenous peoples’ organisations and affiliates

Article 7 of IUCN Statutes provides that:

“Government agencies, national and international non-governmental organisations, indigenous peoples’ organisations and affiliates shall become Members of IUCN when the Council has determined that:

- (a) the applicant shares and supports the objectives of IUCN;
- (b) the applicant has as one of its central purposes the achievement of IUCN’s objectives and a substantial record of activity in the conservation of nature and natural resources;
- (c) the objectives and track record of the applicant embody to a substantial extent:
 - (i) the conservation of the integrity and diversity of nature; and, either or both:
 - (ii) the aim to ensure that any use of natural resources is equitable and ecologically sustainable;
 - (iii) dedication to influencing, encouraging and assisting societies to meet the objectives of IUCN;
- (d) the applicant does not pursue objectives or carry out activities that conflict with the objectives or activities of IUCN; and
- (e) the applicant meets the other qualifications for membership as prescribed in the Regulations”.

The application process is the following:



- To ensure that the applicant meets all the required admission criteria as stated in the IUCN Statutes and Regulations, an assessment form for membership applications (Annex I) was developed by the IUCN Secretariat . The form also provides guidance to IUCN Members and to the Governance and Constituency Committee (GCC) and Council on all of the steps undertaken to review an application.
- The assessment form details the IUCN membership admission criteria stated in the IUCN Statutes and Regulations, all the documentation required to support the application and the payment deposit which must be received at the time of application (full application documents are listed further down).
- Membership Focal Points complete the assessment form indicating whether or not an application meets all the required admission criteria stated in the IUCN Statutes and Regulations, and ensuring that all of the necessary documents and payment deposit have been received.
- It is important to note that relevant IUCN Programme/country staff is always consulted to ensure that any and all issues regarding any of the organisations applying for IUCN Membership of which they may be aware, is duly reported.
- A final and thorough review of the full application and its related documents and of the assessment form is then made by the Membership Unit, UDG.
- The full list of complete applications, together with the completed Assessment forms, is circulated to Members in accordance with Regulation 14. It is also sent to Council members, recognized National and Regional Committees and all IUCN staff worldwide.
- After the statutory deadline of 4 weeks (Regulation 15), which is the deadline for Members to submit objections, the full application documents are forwarded to GCC which has to make a recommendation to the IUCN Council or the Bureau (when there's no physical meeting or Council) on the admission of these Members. The process to be followed when objections are received is described further in detail below.
- Once a decision is made by the Council or the Bureau, the newly admitted Members are informed and receive a Welcome Pack for new IUCN Members. All current IUCN Members, Councillors and staff are informed of the new admissions.

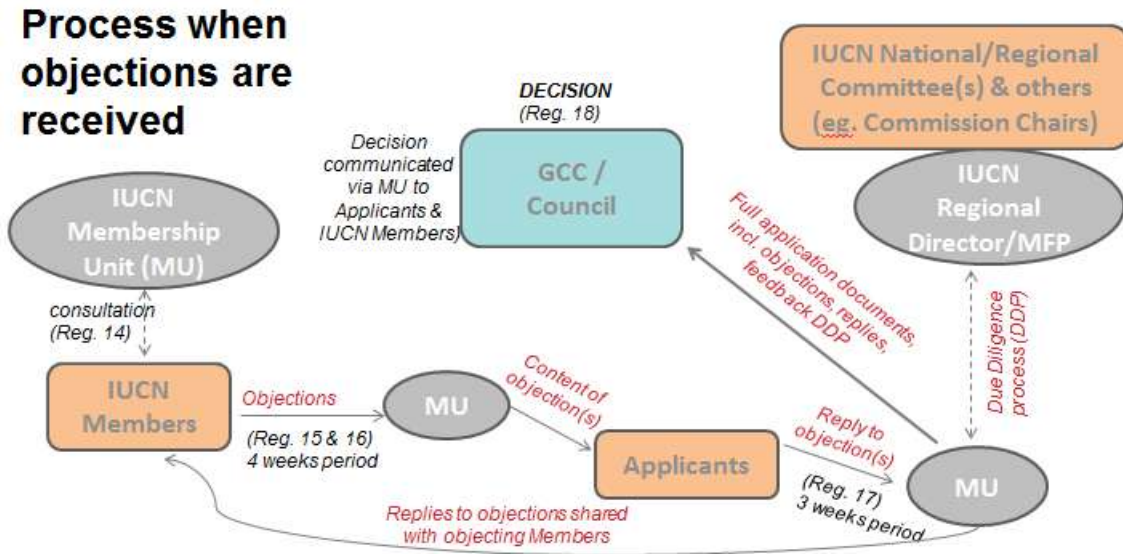
The full application documents consist of:

- Signed application form
- Assessment form used by the Secretariat to review membership applications (Annex I)
- Statutory documents of applicant (for NGO, INGO, IPO and Affiliates applying under these categories)
- Latest audited financial report of applicant (for NGO, INGO, IPO and Affiliates applying under these categories)
- Minimum of 2 letters of endorsement² (from IUCN Members in good standing or National/Regional Committees or Councillors or Honorary Members) – (for NGO, INGO, IPO and Affiliates applying under these categories)
- Membership dues deposit equivalent to the entire current year of membership³ (recalculated upon admission on a pro-rata basis of the total annual membership dues, starting from the month following admission)

² This process is followed based on a recommendation made initially by the Statutes Review Committee in September 1994: "Applicants should also ensure that their applications are endorsed by at least two IUCN Members in good standing or by the appropriate regional Councilor". Although this requirement is not explicitly stated in the IUCN Statutes and Regulations, it is in line with Regulation 8, which states that "Applications shall include such information relating to the agency or organization, its objectives, membership funding and activities, as may be required by the Council to decide on admission". The following practice was endorsed by IUCN Council in November 2013: *With the purpose of protecting the interest of IUCN Members and preserving the integrity of the membership admission process, a minimum of two letters of endorsement shall be submitted together with the applications from any non-governmental organisations applying for IUCN Membership. Endorsers shall be any IUCN Member in good standing, recognized IUCN National or Regional Committees, IUCN Councilors or Honorary Members, providing that, in the case of these last two groups, any formal or informal relationships with the applicant are detailed and disclosed at the time of endorsement.*

³ The 2017-2020 Membership Dues Guide approved by the 2016 World Conservation Congress is available on the [IUCN website](#).

Process when objections to an application for IUCN membership are received



- The above graph describes the process when objections are received. According to Regulation 15, Members have 4 weeks to submit an objection. The content of the objection (not showing the name of the objecting Member) is then sent to the applicant who has 3 weeks (Regulation 17) to provide a reply.
- Meanwhile, the Secretariat undertakes a due diligence process with the relevant Regional Office and National/Regional Committee. Other people may be consulted when needed, for example Chairs of relevant Commissions).
- The full application documents indicated above, the objection letters, the reply to the objections received from the applicants, if any, and the feedback received from the due diligence process is provided to the GCC in order for it to make its recommendation to Council.
- GCC/Council may decide that additional information is required from the applicants in order to make an informed decision. In such a case, the decision may be postponed to the next physical meeting of Council. **When objections are received, decisions on admission are always made during a physical meeting of Council (not by Bureau through e-mail correspondence).**
- According to Article 10 of the Statutes and Regulation 19, an IUCN Member or an applicant, whose application has been rejected by Council, has the right to appeal against the Council decision within six months of notification from Council's decision. The appeal must be made by at least 10 Members eligible to vote. The appeal will have to be considered by the World Conservation Congress, which can reverse Council decision by a two-thirds majority of votes cast in Category A and a two-thirds majority of votes cast in Categories B and C combined.

3) Recognition of National/Regional Committees

Articles 66 to 72 of IUCN Statutes and Regulations 61 to 68 provide all the necessary information and requirements for National and Regional Committees.

It is Council's role to recognize only one National Committee per State, and one Regional Committee per particular Region or a part of the Region, according to Article 67 of the Statutes.

- When a Committee wishes to be recognized, it has to complete a series of documents (see below) and submit them to the relevant Membership Focal Point, who will forward it to the Membership Unit, UDG for review.
- Once reviewed, an assessment form is completed (Annex III) and provided to the Governance and Constituency Committee which will make its recommendation to the Council or the Bureau for official recognition of the Committee.
- Once decision is made by the Council or the Bureau, the newly recognized Committee is informed and receives a Welcome Pack. All current IUCN Members, Councillors and staff are also informed.

The full application documents consist of:

- Signed application form
- Statutes/Bylaws and/or Constitution document and/or Rules of Procedures
- Signed Statement of financial obligations and liabilities (Annex IV)
- Signed License agreement (Annex V)
- Letter from IUCN Members in the country/region to confirm that they:
 - 1) have been notified about the intent to seek recognition of the Committee by IUCN Council
 - 2) have been invited to be a member of the Committee and to participate in all Committee meetings that will take place
 - 3) have been informed that only voting Members of IUCN can participate in decisions on matters of IUCN business

Assessment form for membership applications

GA: Government agency

NG: National non-governmental organisation

IN: International non-governmental organisation

IP: Indigenous peoples' organisations

AF: Affiliates

Applicant category and ID number:	
Organisation name (original):	
Organisation name (in English¹):	
Country and Statutory Region:	
To be presented for admission on/in: (by MU)	

Ref	Requirement / admission criteria	What needs to be checked by category						Does it comply?
		GA	IN	NG	Univ. ²	IP	AF ³	Yes –no - n/a
Art. 5b	Forms part of the State Machinery	X					X (for GA only)	
Art. 5d/e	Incorporated within a State <i>[document of incorporation (not compulsory to send) OR applicant's statutes]</i>		X	X	X		X (for IN/NG/Univ. only)	
Art. 5f	Shall be institutions and associations established by indigenous peoples for the advancement of indigenous communities <i>[applicant's statutes/incorporation doc.]</i>						X (for IP only)	
Art. 7a	Shares and supports IUCN objectives <i>[applicant's statutes]</i>	X	X	X	X	X	X	
Art. 7b	Has one of its central purposes to achieve IUCN's objectives (described in Art. 2) <i>[applicant's statutes]</i>	X	X	X	X	X	X	
Art. 7b	Has substantial record in conservation of nature <i>[Application Form > Achievements]</i>	X	X	X	X	X	X	
Art. 7c	Objectives and track record embody: i) <i>conservation of the integrity and diversity of nature; and, either or both⁴;</i> ii) <i>aim to ensure that any use of natural resources is equitable and ecologically sustainable</i> iii) <i>dedication to influencing, encouraging and assisting societies to meet the objectives of IUCN</i>	X	X	X	X	X	X	
Art. 7d	Does not pursue activities that conflict with IUCN's objectives/activities <i>[applicant's statutes]</i>	X	X	X	X	X	X	
Reg. 5a(i) Reg. 5b(i) Reg. 5bis(i)* Reg. 6a	Is Not-for-profit <i>[applicant's statutes]</i>		X	X	X	X	X (for IN/NG/Univ. only)	
Reg. 5a(ii) Reg. 5b(ii) Reg. 5bis(ii)* Reg. 6b	Has been in existence for at least 3 years <i>[document of incorporation (not compulsory to send) OR applicant's statutes]</i>		X	X	X	X	X (for IN/NG/Univ. only)	
Reg. 5a(iii) Reg. 6f	Has a board that is autonomous and independent ⁵ <i>[applicant's statutes]</i>		X	X			X (for IN/NG only)	
Reg. 5b (iv) Reg. 5bis(iii)*	Is autonomous in administration and governance <i>[applicant's statutes]</i>				X	X	X (for Univ. only)	
Reg. 5a (iv) Reg. 6e	Has a transparent, accountable and representative governance structure ⁶ <i>[applicant's statutes]</i>		X	X			X (for IN/NG only)	
Reg. 5b (iii)	Is an academic or professional entity of high standing				X		X (for Univ. only)	

¹ This should be the official existing translation or an agreed translation as provided by a reliable translator. MFPs should check that the translation is accurate. UDG can assist with the translation of the name if necessary.

² Universities are part of the NG category, but have to fulfil slightly different criteria.

³ GA/IN/NG/IP wishing to apply as AF are still required to fulfil the basic requirements of GA/IN/NG/IP respectively. Indications are provided in the AF column accordingly. For example for a GA applying as AF, it is essential that this GA complies with Article 5(b) of the Statutes, being one of the criteria for admission of a GA. Whereas, an NG/IN would have to comply with Article 5 (d/e) of the Statutes but not 5 (b).

⁴ Has to meet criterion (i) and at least one of the criteria (ii) or (iii).

⁵ Is deemed to mean a board whose decision-making processes adhere to the provisions contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and are not controlled or unduly influenced through financial or other pressures exerted by government agencies or public or private entities.

⁶ Is deemed to mean that the statutes/articles, regulations/bylaws and other constitutive institutional instruments provide for a governance structure that affords the members of the organisation fair and adequate participation in the business and governance of the organisation, that require the organisation to be transparent and accountable in its activities, finances and policies, and that such provisions are adhered to in the day-to-day business of the organisation.

Reg. 5bis(iv)*	Has, as its primary constituency, indigenous peoples <i>[applicant's statutes]</i> .					X	
Reg. 6c	Has a substantial record of activity in two or more States and out posted or country offices ⁷ <i>[Application Form > Mission, Objectives and Activities]</i>	X					X (for IN only)
Reg. 6d	Board is open to nationals from at least two States ⁸ <i>[applicant's statutes]</i>	X					X (for IN only)

* pending approval in second reading by the 92nd Council of the changes to Regulations

What documents need to be provided by category and what needs to be done by IUCN							Does it comply?
Ref	Requirement / admission criteria	GA	IN	NG (incl. Univ)	IP*	AF	Yes –no - n/a
Reg. 4	Authorization to adhere to IUCN Statutes, is signed by Head of the Organisation <i>[Application Form, page 14-15, signature page]</i>	X				X (for GA only)	
Reg. 7, 9	Application form and authorization, endorsing IUCN's objectives, is signed by Head of the Organisation <i>[Application Form, page 14-15, signature page]</i>	X	X	X	X	X	
Reg. 8	Letters of endorsement (min. 2) from IUCN Members in good standing ⁹ or from IUCN National/Regional Committees or from IUCN Councillors or Honorary Members (providing that there are no conflict of interest for the last two groups ¹⁰): 1) 2) (if letters come from IUCN Members, indicate Member ID, name of org, country)		X	X	X	X (for NG/IN/IP only)	
	Statutes/Bylaws/Constitution document(s) received		X	X	X	X (for NG/IN/IP only)	
	Financial report validating operational expenditures of USD ¹¹ received		X	X	X		
Reg. 10	Deposit of CHF ¹² : processed on by credit card / bank transfer / cheque / through Regional office (by MFP) Received at HQ on: (by MU)	X	X	X	X	X	
MU process	Assessment form completed (by MFP)	X	X	X	X	X	
MU process	Relevant IUCN Programme/country office staff do not have any particular issues with the applicant (by MFP)	X	X	X	X	X	
MU process	Organisation, application form and documents entered in CRM (by MFP) !!! CHECK: original and English name, website, text length for description, mission, objectives and achievements]	X	X	X	X	X	

MFP/UDG comments

Completed on:

by:

⁷ "Outposted or country offices" means that the organisation must have a registered office (legal seat) in at least two countries. Outposted staff based in partner organisations in other countries cannot be considered as "outposted or country offices".

⁸ The Organisation's Statutes should state that their Board is open to nationals from other countries (if not, written confirmation is required). NB: If the current Board is composed of nationals from only one country, it does not necessarily imply that it is closed to other nationalities: check!!

⁹ "In good standing" means that the Member has paid all of its outstanding membership dues up to and including the year preceding the date when Council considers the application. It is the responsibility of the applicant to find endorsers.

¹⁰ When letters of endorsement are submitted by IUCN Councillors or Honorary Members, any formal or informal relationships with the applicant must be detailed and disclosed at the time of endorsement. Letters of endorsement shall indicate that the seconder knows well the applicant organisation and its activities and therefore can confirm to IUCN that the applicant meets all the requirements prescribed in the IUCN Statutes and Regulations to be accepted as an IUCN Member.

¹¹ Operational expenditure is considered as annual and recurring expenses (staff salaries, building rental, administration costs, etc).

¹² Deposit equals the first year of Membership dues. Once the applicant is admitted, the deposit will be re-calculated pro-rata based on the Member admission date, and the difference carried forward. If not admitted, the deposit will be refunded.

Assessment form for adhesion of State and Political and/or Economic Integration Organization (PEIO) Members

State or (PEIO) Member ID number:	
State or (PEIO) name (original):	
State or (PEIO) name (in English):	
Statutory Region:	
Considered for adhesion on/in:	

What needs to be checked and/or provided?				
Ref		States	PEIO	Checked Yes/n/a
Art. 5a	Country meets the definition “those which are members of the United Nations or any of its Specialized Agencies, or of the International Atomic Energy Agency, or parties to the Statutes of the International Court of Justice”	x		
Art. 5c	“Political and/or economic integration organizations shall be organizations constituted solely by States to which those States have conferred legal competence in respect of matters within the objectives of IUCN”		x	
Art. 6	Notifies the Director General of its adhesion to the IUCN Statutes and processes the payment of the first year’s membership dues.	x	x	
Reg. 3 (a)	Notification of adhesion to the IUCN Statutes should be made by or on behalf of the Head of State, the Head of Government or the Minister for Foreign Affairs.	x		
Reg 3 (b)	Notification of adhesion to the Statutes shall be made by the duly authorized representative and shall be accompanied by a statement declaring the extent of its competence with respect to the matters provided in the Statutes.		x	
Reg. 3 (c)	Shall designate its liaison (focal point) with the IUCN Secretariat	x	x	
Reg. 10	Deposit of CHF ¹ : processed on _____ by _____ credit card / bank transfer / cheque / through Regional office (by MFP) Received at HQ on: _____ (by MU)	x	x	

Membership Focal Point/Regional Director comments:

Completed on: _____ by: _____

¹ The payment, equivalent to the first year of membership, is payable at the time of submitting the letter of adhesion. The membership dues for that year are calculated on a pro-rata basis of the total annual membership dues, starting from the month following receipt of the letter of adhesion.

Assessment form for recognition of National/Regional Committees

**full application documents, in French, are available upon request*

<p>1. NAME OF COMMITTEE:</p> <p><u>Contact person:</u></p>		
<p>2. APPLICATION:</p> <p>Is it properly constituted? Is the Application signed by the authorized Executive Member?</p> <p>Documentation received:</p> <ul style="list-style-type: none"> • Statutes/Bylaws and/or Constitution document and/or Rules of Procedures: • Statement of Financial Obligations and Liabilities: • License Agreement: • Letter from IUCN Members in the country/region¹ • Others (if yes, specify): 	<p>YES YES</p>	
<p>STATUS OF NATIONAL/REGIONAL COMMITTEE:</p> <p>Date of establishment:</p> <ul style="list-style-type: none"> • Is it a legally registered entity? 	<p>xxx</p> <p>NO</p>	<p>NO</p>
<p>4. STATUTES: Does the Committee satisfy the admission criteria?</p> <p>Does it:</p> <ul style="list-style-type: none"> • open its membership to all IUCN members in its State • comprise the majority of IUCN members in its State • endeavor to ensure the full participation of IUCN Members • submit to the Director General, IUCN Secretariat and IUCN Council, its Statutes/Bylaws (in the case of a legal entity) or Rules of Procedures and/or Constitutional documents (in the case of a non-legal entity) • notify all members in its State in writing of its intent to seek official recognition by IUCN Council and provide written evidence to the Secretariat to that effect • ensure that only voting Members of IUCN participate in decisions on matters of IUCN business • elect its own Chair and establish its own procedures • accept the right of any member to disassociate from any decision of the Committee and if requested, clearly indicate that disassociation • be self-governing and not impose financial obligations or liabilities upon IUCN, in accordance with Art. 71, para (a) and (b) of the IUCN Statutes • use the IUCN name and logo only in accordance with a License Agreement signed with the National Committee • be solely responsible for any funds it raises and any debts and legal obligations, incurred in accordance with the Statement regarding financial obligations and liabilities • determine the dates and venues of its meetings, informing its members and the Director General of these meetings in advance • promptly send an annual report on its activities to the Director General and the Council 	<p>YES YES YES YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p>	

¹ Letter from each individual Member or one letter signed by all Members in the country/region to confirm that they have been:

- notified about the intent to seek recognition of the National/Regional Committee by IUCN Council
- invited to be Members of the National/Regional Committee
- informed that only voting Members of IUCN can participate in decisions on matters of IUCN business

<ul style="list-style-type: none"> • co-operate with the IUCN Secretariat and the Commissions to advance the work of IUCN 	YES	
<ul style="list-style-type: none"> • if it adopts and pursues its own policies, ensure that these are consistent with the objectives and policies of IUCN 	YES	
<ul style="list-style-type: none"> • invite relevant key national bodies to participate as appropriate, where this participation will further the work of the Committee 	YES	
<ul style="list-style-type: none"> • issues statements (if it does) relevant to the objectives of IUCN, provide that such statements, or activities pursuant to them, shall be solely on behalf of the Committee and shall not commit IUCN to any financial, legal or other obligations, in accordance with the Statement regarding financial obligations and liabilities 	YES	

5. EXECUTIVE COMMITTEE:	
Chair:	
Vice-Chair:	
Secretary:	
Treasurer:	
Executive Bureau Members:	

NATIONAL COMMITTEES



FINANCIAL OBLIGATIONS AND LIABILITIES

STATEMENT BY THE IUCN NATIONAL COMMITTEE OF:

.....

In compliance with the Criteria set out for Recognition set forth in the Application Pro Forma and the License Agreement, it is hereby stated that the National Committee of..... shall be:

- self-governing and self-financing;
- solely responsible for its fund raising;
- solely financially responsible for all the legal obligations directly entered into with third parties or deriving from its activities;
- legally and financially independent from IUCN (International Union for Conservation of Nature)

As a consequence of the above statement, the National Committee of declares that:

- no financial obligations or liabilities will be imposed on IUCN;
- IUCN will not be committed to any financial, legal or other obligations.

The National Committee of , and the IUCN Members comprising it, shall indemnify IUCN fully, should:

- a) any claim be submitted to IUCN as a result of the activities of the National Committee or the improper use by it of IUCN name and logo; and/or
- b) IUCN be requested to settle obligations and liabilities entered into by the National Committee;

IUCN has the right to disclaim and to seek compensation for any material or moral damages deriving therefrom.

Signatures: Authorized Executive Member: Treasurer:

.....

Date:

International Union for Conservation of Nature



Annex II
IUCN National Committees
Application for Council Recognition

NATIONAL COMMITTEES

LICENSE AGREEMENT

THIS AGREEMENT is entered into this ____ day of _____, 200__, by and between the *International Union for the Conservation of Nature and Natural Resources* (IUCN), by IUCN's Director General, having its headquarters at Rue Mauverney 28, Gland CH-1196, Switzerland [**Licensor**] and the *National Committee of* _____ (Insert name of Country), by _____ (Insert Title of Official of Committee) having its address at _____ (Insert postal and office address) [**Licensee**].

Whereas, The Licensor is the owner of all property and interest in the names, logo and trademarks enumerated in Article 1 below, and

Whereas, The Licensee, as a subsidiary Committee recognized by IUCN's Council, desires to use the names **IUCN**, and **IUCN-International Union for Conservation of Nature, International Union for the Conservation of Nature and Natural Resources**, and **World Conservation Congress**, in connection with its organizational name and logo, as the IUCN National Committee of _____ (Country) or IUCN Regional Committee of _____ (Region),

Now, therefore, in consideration of the mutual promises, covenants and conditions contained herein, it is hereby agreed as follows:

1. Ownership of Rights

The Licensor is the sole and exclusive owner of all rights in and to the property and interests in the names, logo and trademarks of **IUCN, IUCN-International Union for Conservation of Nature, International Union for the Conservation of Nature and Natural Resources**, and **World Conservation Congress** and, with the exception of the rights being licensed by this agreement, all other rights relating thereto are expressly reserved to the Licensor.



2. License Grant

The Licensor hereby grants to the Licensee an exclusive, non-transferable, non-assignable license, without the right to grant sublicenses, to use the names, logo and trademarks of **IUCN and IUCN-International Union for Conservation of Nature, International Union for the Conservation of Nature and Natural Resources, and World Conservation Congress**, solely on or in connection with the name, programme and activities of the *National Committee for* _____ (Insert name of country or region) and solely within the Licensee's territory of _____ (Insert name of country or region), and, for this purpose only, to affix such name, logo and trademark on or to letterhead, literature, packaging, educational materials, news media, advertising, websites, and materials distributed or sold in connection with the licensed names, logo or trademark.

3. Terms and Conditions

(A) The Agreement shall commence and be effective upon signature by the Director General of IUCN, or his/her duly authorized representative, and shall run for a term to expire within the close of the next successive World Conservation Congress, and if the Licensee is in full compliance with all of the terms and conditions hereof during that term, the Licensor agrees to grant to the Licensee an extension of the term to the close of the next successive World Conservation Congress, subject to further renewal on the same basis as the initial term.

(B) As a condition of the grant of this License, the Licensee shall maintain its status and activities in full compliance with the Statutes and Regulations of IUCN.

(C) As a condition of the grant of this License, the names, logo and trademarks shall be used only in conjunction with the words "National Committee" or "Regional Committee" to be followed respectively by the name of the country or region.

(D) As a condition of the grant of this License, the Licensee shall only use the names, logo and trademarks in accordance with below point 4 "Quality". Any revisions shall be sent by the Licensor to the Licensee at the address above stated, and shall be effective upon receipt by the Licensee.

4. Quality

(A) All uses of the IUCN letter-block design and the typeface of the names **IUCN and IUCN-International Union for Conservation of Nature, International Union for the Conservation of Nature and Natural Resources, and World Conservation Congress**, shall conform to the following: (a) the letters "**IUCN**" are to appear in Pantone 287, Pantone Reflex Blue or 100% black in color; (b) the words "**International Union for Conservation of Nature**" are always 100% black in color; (c) the sizes of the logo for "**IUCN**" shall be as stipulated on logosheets and boilerplates supplied by the headquarters of the International Union for Conservation of Nature and Natural Resources; (d) for most uses, the name and logo should appear on a white or light colored background; (e) no other graphic elements, including boxes, lines, or circles, should be used near or around the name and logo.

(B) Upon commencement of the use, distribution, sale or production of any products using the licensed names, logo or trademarks, the Licensee shall submit, at its own cost, samples of the documents or products employing the licensed names to the International Union for Conservation of Nature and Natural Resources, Rue Mauverney 28, CH-1196 Gland, Switzerland.



(C) In the event that the above-stated quality standards are not met or maintained throughout the term of this Agreement, the Licensor has the right to require that the Licensee immediately discontinue the use, distribution, manufacture, sale or display of the products which the Licensor finds, at its sole discretion, not to meet the quality standards.

5. Goodwill

(A) The Licensee recognizes the value of the goodwill associated with the names, logo and trademarks and acknowledges that the property and trademarks have acquired secondary meaning. The Licensee agrees, during the term of the Agreement and thereafter, never to attack the rights of the Licensor in such property or trademarks or the validity of the License being granted by this agreement.

(B) The Licensee agrees that its use of the names, logo or trademarks inures to the benefit of the Licensor and that the Licensee shall not acquire any rights in the property or interest in the names, logo or trademarks.

6. Trademark and Copyright Protection and Infringements

(A) The Licensor may obtain, at its own cost and in its own name, appropriate copyright and trademark protection for the names and logo and trademarks and property and the Licensee agrees to cooperate with the Licensor in protecting such property or trademarks.

(B) The Licensee agrees that it shall not at any time apply for any registration of any copyright, trademark or other designation which would affect the ownership of the names, logo or trademarks of the Licensor, nor file any document with any governmental authority to take any action which would affect the ownership of the property, interests or trademarks.

(C) The Licensee agrees that it shall, at no time, use or authorize the use of any trademark, trade name, name or logo or other designation identical with or colorably similar to the Licensor's names, logos or trademarks.

(D) The Licensee agrees to assist the Licensor in the enforcement of the Licensor's rights and interests in the property and trademarks. With respect to any claims or legal actions, the Licensor shall employ legal counsel of its own choice and shall be entitled to receive and retain all amounts awarded as damages in connection with such legal actions.

(E) Should the Licensor amend or alter its trademark, trade name, name or logo or other designation, the Licensee agrees to correspondingly make such amendments to its publications or use of the trademark, trade name, name or logo.

7. Termination

(A) The Licensor shall have the right to terminate this Agreement at any time upon sixty (60) days' written notice to the Licensee, provided however that such termination shall not impair or affect any rights of the Licensor.

(B) Upon termination of the Agreement, the Licensee agrees immediately to discontinue the use, manufacture, display or other presentation of the names, logo or trademarks on any product or in any form whatsoever. The Licensee agrees that all legal rights and goodwill associated with the



Licensor's names, logos or trademarks remain the property of the Licensor and shall make no claim to them. The Licensee shall send to the Licensor, or destroy, all letterhead, literature, packaging, education materials, advertising, news media, web sites, and materials manufactured for distribution or sale on which the names, logos or trademarks of the Licensor appear.

8. Indemnification

The Licensee shall defend, indemnify, and hold harmless the Licensor, its officers, employees, and agents from and against any losses and expenses, claims, legal actions or other liability, resulting from injury, defamation or other harm to any person or damage to property arising out of or in any way connected with the exercise of the license granted by this Agreement.

9. Waiver

No waiver by the Licensor of a breach or default hereunder shall be deemed a waiver by such party of a subsequent break or default of a like or similar nature.

10. Severability

Should any provision of this Agreement be determined to be unenforceable or in conflict with the law of any jurisdiction, then the validity of the remaining provisions shall not be affected by such a determination.

11. Governing Law

This Agreement shall be construed in accordance with, and all disputes hereunder shall be governed by, the laws of Switzerland. The Licensor and Licensee agree to the jurisdiction of the courts of competent jurisdiction of Switzerland, for the bringing of any and all actions hereunder, and to compel arbitration or enforce any arbitral award.

12. Authentic Text

This Agreement shall be executed in duplicate original copies, one held by the International Union for Conservation of Nature and Natural Resources at its headquarters and one returned to the National, or Regional Committee. Each signed original shall be equally authentic.

13. Arbitration

The Licensor and Licensee agree that any dispute, controversy or claim arising out of or relating to this Agreement, or the breach, termination or invalidity thereof, shall be settled by arbitration in accordance with the UNCITRAL Arbitration Rules as at present in force, and with the following provisions:

- (A) The number of arbitrators shall be three, unless by mutual agreement the Licensor and Licensee agree to one arbitration;
- (B) The place of the arbitration shall be IUCN Headquarters, in Gland, Switzerland;



(C) If either the Licensor or Licensee fails to appoint its respective arbitrator, or the two arbitrators selected fail to agree on the choice of a third arbitrator, then the choice of the third arbitrator shall be made by the president, then in office, of the Swiss League for the Protection of Nature;

(D) The language to be used in the arbitral proceedings shall be English, French or Spanish with either Licensor or Licensee providing its own languages interpretation at its own expense. The UNCITRAL Arbitration Rules (New York, U.N., 1977; 32 pages; U.N. Sales Number: E.77.V.6) are incorporated into this Agreement by reference, and copies are available from The United Nations Commission on International Trade Law (UNCITRAL), P.O. Box 500, A-1400, Vienna, Austria, or from the United Nations Sales Section.

14. Notices

Any notice required by this Agreement shall be deemed to have been properly received when delivered in person or when mailed to the address as set forth above, or such further addresses as either party may designate from time to time.

15. Complete Agreement

It is understood and agreed that this Agreement constitutes the entire agreement between the Licensor and Licensee, both oral and written, and that all prior agreements or representations respecting the subject matter of this Agreement, whether written or oral, express or implied, shall be abrogated, canceled and are null and void and of no effect.

In witness whereof, the Licensor and Licensee have caused this Agreement to be executed by their duly authorized representatives.

For the International Union for Conservation of Nature and Natural Resources

By: The Director General _____
DATE:

For the IUCN National/ Regional Committee for _____
(Insert Name of Country or Region)

By: _____
(Insert Title of Executive Office Authorized to Represent the Committee)
DATE:

From: [FRIEDLI CELA Sandrine](#)
To: [GILMOUR-BIERI Fleurange](#)
Cc: [DUARTE Carla](#)
Subject: Shall all applications be send to the members for their views?
Date: 14 July 2017 15:37:56

Dear Fleurange,

Further to your question, whether or not all IUCN members shall be notified of an application, if such an application clearly does not meet the requirements of the Statutes and Regulations, I advise the following:

- All applications shall be made available to Members so that they can express their opinion on the application for admission, even if such admission does not meet the minimum criteria;
- It is acceptable and appropriate that Members be made aware of the fact that certain criteria are not met, for example by sending an assessment form.

My conclusion is based on the following interpretation of the Statutes and Regulations:

1. It is clear that Council has the authority to decide on an admission of new Members and not the Secretariat. The Council has to decide on the admission based on the criteria set forth in Stat. 7 and in the regulations.

// Stat. 7

Government agencies, national and international non-governmental organisations, indigenous peoples' organisations and affiliates shall become Members of IUCN when the Council has determined that:

(...)

(e) the applicant meets the other qualifications for membership as prescribed in the Regulations.

//

This means that all applications shall be send to the Council (though the GCC) even if the minimal criteria are not met.

2. According to Stat. 8, the communication to Members seems to be only required, if the Council intends to admit the new member with the aim that Members can object to the admission:

// Before admitting an applicant the Council shall:

(a) notify Members of the application and consider any objection raised //

This clause could therefore be understood as allowing the Council not to notify the Members if the applicant does not meet the minimal requirements for admission and the Council, upon recommendation of the GCC, therefore intends to refuse the admission of the application. This would suppose however a 2 steps process, namely (1) first an evaluation of the Council (through the GC), whether an admission is likely to be approved and then (2) if it is the case, and information to Members to allow them to object before final decision of admission by the Council.

As far as I am aware, this has not been the practice until now.

3. However Stat. 12 is broader and indicates that Members have the right to express an opinion on all applications, whether or not they are admissible:

//12. (a) Members shall have the right inter alia:

...

(iii) to express an opinion on application for admission as new Members; //

4. Reg. 14 goes in the same direction than Stat. 12

// The Director General shall mail notice of the applications together with the appropriate information on the applicants, to the Members of IUCN eligible to vote. //

The information on the applicants mentioned in this clause, can may my sense include the information about the fact that certain formal criteria for admission are not met.

5. Furthermore, reg. 16 states that Members have to check if the admission criteria are met as they have to justify their objection only in relation to those criteria.

// Such objection shall only be on grounds that the applicant does not meet the requirements of membership provided in the Statutes²⁰ or prescribed in the Regulations.²¹ The objection shall give specific grounds and particulars on which the objection is based.//

This underlines the fact that it may be useful for the members to receive an assessment allowing them to better evaluate if those criteria are met.

6. There is unfortunately whether in the Statutes nor in the Regulations a distinction between formal criterias which don't require to exercise of a power of appreciation (such as whether or not the applicant is an NGO, in existence since more than 3 years) and other criteria, which do. I think that it would make sense that the Council be able to decide that application, which are clearly not meeting the minimal formal criteria, be rejected without having to ask the Members for their view on the application per se. But this may be something to consider for a future review of the Statutes and/or regulations.

It goes without saying that such a decision of non-admission, would however have to be send to the Members for information as any other decision of the Council (Stat 58) and that an appeal is possible against such decision according (Stat 10 and 11, Reg. 19).

I hope that this responds to your question. Please don't hesitate to contact me again if the GCC has further questions.

Best regards,
Sandrine

Revised on 09.04.18 - changes highlighted in yellow



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1196 Gland
Switzerland

Tel. +41 22 999 0000
Fax +41 22 999 0002
membership@iucn.org
www.iucn.org

Dear Applicant,

We are delighted that your organisation has decided to join IUCN.

Your application will receive personal attention from the Membership Focal Point in the IUCN Regional Office responsible for your region, with the support of the Union Development Group at IUCN Headquarters in Gland.

Please read the "Help and Instructions" section that will guide you through the steps involved to complete your application.

As indicated in Article 4 of the IUCN Statutes, there are four categories of Members:

- Category A: States, political and/or economic integration organisations and government agencies;
- Category B: Non-governmental organisations;
- Category C: Indigenous peoples' organisations
- Category D: Affiliates

The deadlines to receive applications are: 31 March, 30 June, 30 September and 31 December of each year. States and Political and/or Economic Integration Organisations can join IUCN at any time.

Please also consult the membership section of the IUCN website, where you will find the documents you need to consult while completing your application, as well as the application form:

<https://www.iucn.org/about/union/members/how-become-member-iucn>

Your first point of contact for all questions related to the membership application process is the Membership Focal Point in your region. For contact details, please consult our website:

<https://www.iucn.org/about/union/members/membership-focal-points>

We look forward to receiving your application file.

The Network of Regional Membership Focal Points
Union Development Group



Help and instructions: What do you need to do?

Before completing your application, please refer to the following documents:

- **Benefits for Members:** by joining IUCN, you will benefit from IUCN's scientific credibility, its unsurpassed knowledge base and convening power, extensive networking opportunities and access to high-level political, economic and social decision making. Being a Member of IUCN enables you to both advance your own cause and to strengthen common action in overcoming barriers to a sustainable future.
- **IUCN's Statutes and Regulations** adopted by IUCN Members: You need to confirm that your organisation shares and supports the objectives of IUCN as set out in the [Statutes and Regulations](#).
- **Membership Dues Guide:** A deposit equivalent to the entire current year of membership is payable at the time of submitting the application or the letter of adhesion (for States and Political and/or Economic Integration Organisations). However, once the new Member has been admitted, the membership dues for that year are calculated on a pro-rata basis of the total annual membership dues starting the month following admission. If the balance is then positive, it will be credited to the following year. The deposit will be reimbursed in full by IUCN if the application is rejected (not valid for States and Political and/or Economic Integration Organisations). The [Membership Dues Guide](#) provides all of the necessary information you will need to estimate the amount of your first year's membership dues deposit.
- **The IUCN Programme 2017-2020** adopted by IUCN Members.

Please note that IUCN membership does not expire unless the IUCN Member is withdrawn or expelled from IUCN as detailed in Article 13 of the [IUCN Statutes](#) or unless the IUCN Member withdraws voluntarily by providing IUCN with written notification of its intention to withdraw its membership. Members withdrawing from the Union must ensure that all outstanding membership dues have been paid up to and including the year of the notification of withdrawal.

If you wish to join as a State¹ or as a Political and/or Economic Integration Organisation² (Category A):

- States and political and/or economic integration organisations become Members of IUCN by notifying the Director General of their adhesion to the IUCN Statutes, effective upon payment of the first year's membership dues. [IUCN Statutes, Article 6]
- The notification of adhesion to the Statutes by a State is to be made by or on behalf of the Head of State, the Head of Government or the Minister for Foreign Affairs. [IUCN Regulations, Paragraph 3 (a)]
Draft text:
"Notification is hereby given by the Government of <COUNTRY NAME> of its adhesion to the Statutes of IUCN and willingness to become a Member of IUCN.
The Government of <COUNTRY NAME> designates <NAME OF THE GOVERNMENT AGENCY> as its liaison with the IUCN Secretariat."
- The notification of adhesion to the Statutes by a political and/or economic integration organisation shall be made by its duly authorized representative and shall be accompanied by a statement declaring the extent of its competence with respect to the matters provided in the Statutes. [IUCN Statutes, Article 6 and IUCN Regulations, Paragraph 3 (b)].
- For States or political and/or economic integration organisations joining the Union, a payment equivalent to the first year of membership is due at the time of submitting the letter of adhesion. The membership dues for that year are then calculated on a pro-rata basis of the total annual membership dues, starting from the month following receipt of the letter of adhesion. If the balance is positive, it will be credited to the following year.

¹ States shall be those which are members of the United Nations or any of its Specialised Agencies, or of the International Atomic Energy Agency, or parties to the Statutes of the International Court of Justice" [IUCN Statutes, Article 5 (a)].

² Political and/or economic integration organisations shall be organisations constituted solely by States to which those States have conferred legal competence in respect of matters within the objectives of IUCN" [IUCN Statutes, Article 5 (c)].

If you are a Government agency³ (Category A), a National⁴ or International⁵ Non-Governmental Organisation (Category B), an Indigenous peoples' organisation⁶ (Category C) or if you wish to apply as an Affiliate⁷ (Category D):

- Contact the IUCN Membership Focal Point in your region who will assist you throughout the process: <https://www.iucn.org/about/union/members/membership-focal-points>;
- Complete the application form and have it signed by the Head of your organisation/institution;
- Include all the additional material necessary to complete your application file. Please refer to the requirements detailed on the subsequent pages;
- Pay your membership dues deposit; and
- Send your application to the [IUCN Membership Focal Point in your region](#).
- **Ensure that all the above is completed by [the application deadline](#).**

What are the main requirements for Government agencies, National and International Non-Governmental Organisations and Affiliates to become Members of IUCN?

The IUCN Council must determine that [IUCN Statutes, Article 7]:

- the applicant shares and supports the objectives of IUCN;
- the applicant has as one of its central purposes the achievement of IUCN's objectives and a substantial record of activity in the conservation of nature and natural resources; and
- the objectives and track record of the applicant embody to a substantial extent :
 - (i) the conservation of the integrity and diversity of nature; and, either or both:
 - (ii) the aim to ensure that any use of natural resources is equitable and ecologically sustainable;
 - (iii) dedication to influencing, encouraging and assisting societies to meet the objectives of IUCN;
- the applicant does not pursue objectives or carry out activities that conflict with the objectives or activities of IUCN;

Government agencies (GAs)

Government agencies seeking membership of IUCN shall submit an application for admission to the Director General via the relevant [Membership Focal Point](#) supported by a statement from the Head of the agency, setting forth its competence to adhere to the Statutes [IUCN Regulations, Paragraph 4] and to confirm that this application conforms with the laws of the State where the agency/institution is located. A statement is available for signature on page 16 of this application form.

Non-Governmental Organisations (NGOs)

NGOs must comply with the following four main requirements [IUCN Regulations, Paragraph 5 (a)]:

- be a not-for-profit entity which conforms with the law of the State where its seat is located;
- have been in existence for at least three years;
- have a board that is autonomous and independent⁸; and
- have a governance structure which is transparent, accountable and representative⁹.

³ Government agencies shall be organisations, institutions and, when applicable, government departments, which form part of the machinery of government in a State, including those agencies of the components of federal States or of States having an analogous structure [IUCN Statutes, Article 5 (b)].

⁴ National non-governmental organisations shall be institutions and associations incorporated within a State [IUCN Statutes, Article 5 (d)].

⁵ International non-governmental organisations shall be institutions and associations organized in two or more States [IUCN Statutes, Article 5 (e)].

⁶ Indigenous peoples' organisations shall be institutions and associations established by indigenous peoples for the advancement of indigenous communities [IUCN Statutes, Article 5 (f)].

⁷ Affiliate Members shall be government agencies, national and international non-governmental organisations, which are not in Categories A or B [IUCN Statutes, Article 5 (f)]. Only Members in Categories A and B shall have the right to vote. [IUCN Statutes, Article 30].

⁸ Is deemed to mean a board whose decision-making processes adhere to the provisions contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and are not controlled or unduly influenced through financial or other pressures exerted by government agencies or public or private entities.

Other requirements:

- NGOs must submit a minimum of two letters of endorsement from IUCN Members in good standing¹⁰ or from IUCN National/Regional Committees, IUCN Councillors or IUCN Honorary Members¹¹. All related links are available on page 8 of this form. Letters of endorsement shall indicate that the seconder knows well the applicant organisation and its activities and therefore can confirm to IUCN that the applicant meets all the requirements prescribed in the IUCN Statutes and Regulations to be accepted as an IUCN Member.
- NGOs must submit a copy of their Statutes/Bylaws/Constitution documents and their **latest annual audited financial statements together with a reconciliation (highlight) to the declaration of operating expenditure**, which is used to calculate the annual IUCN membership dues. If the organisation is not required to have a statutory audit the **latest annual financial statements** approved by the Board or governing body can be provided. Operating expenditure is defined as the expenditure arising in the course of ordinary activities of the organisation and which is considered to be **recurrent and annual. It does not include one-time investments**.

Here is a list of items that would normally be included in operating expenditure:

audit fees - bank interest and charges - building rental – cleaning - communication costs (internet, phone, fax, etc) – consultants – depreciation – equipment – insurance - information technology costs - legal and professional fees - meetings and workshops - monitoring and evaluation - printing and publication costs - provisions and write offs - repairs and maintenance – security - staff salaries and benefits - sundry administrative costs (office supplies, etc) – training - translation and interpretation - vehicles and fuel water, electricity, gas, etc.

In addition to the above requirements, any duly accredited university, similar institution of higher learning, specialized centre(s) and research institute(s), organized within a State, seeking admission in Category B [IUCN Regulations, Paragraph 5 (b)] shall be:

- an academic or professional entity of high standing; and
- autonomous in administration and governance¹².

International Non-Governmental Organisations (INGOs)

INGOs must comply with the following requirements [IUCN Regulations, Paragraph 6]:

- be a not-for-profit entity which conforms with the laws of the State where its seat is located;
- have been in existence for at least three years;
- have a substantial record of activity in two or more States and out posted or country offices reporting back to Headquarters¹³;
- have a governing body open to nationals from at least two States;
- have a governance structure which is transparent, accountable and representative⁹; and
- have a board that is autonomous and independent¹⁴.

Other requirements:

⁹ Is deemed to mean that the statutes/articles, regulations/bylaws or other constitutive institutional instruments provide for a governance structure that affords the members of the organisation and/or its Board, fair and adequate participation in the business and governance of the organisation, that require the organisation to be transparent and accountable in its activities, finances and policies, and that such provisions are adhered to in the day-to-day business of the organisation.

¹⁰ In good standing means that the Member is up-to-date in the payment of its IUCN membership dues up to and including the year preceding the membership application request.

¹¹ When letters of endorsement are submitted by IUCN Councillors or Honorary Members, any formal or informal relationships with the applicant must be detailed and disclosed at the time of endorsement.

¹² Is deemed to mean an organisation whose decision-making processes adhere to the provision contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and is not controlled or duly influenced through financial or other pressures exerted by government agencies or public or private entities.

¹³ Means that the organisation must operate and have activities (i.e. concrete projects) in two or more States. The organisation must have a Headquarter and two or more outposted countries offices reporting back to it. Outposted staff based or hosted in partner organisations in other countries cannot be considered as outposted offices.

¹⁴ Is deemed to mean a board whose decision-making processes adhere to the provisions contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and are not controlled or unduly influenced through financial or other pressures exerted by government agencies or public or private entities.

- INGOs must submit a minimum of two letters of endorsement from IUCN Members in good standing¹⁵ or from IUCN National/Regional Committees, IUCN Councillors or IUCN Honorary Members¹⁶. All related links are available on page 8 of this form. Letters of endorsement shall indicate that the seconder knows well the applicant organisation and its activities and therefore can confirm to IUCN that the applicant meets all the requirements prescribed in the IUCN Statutes and Regulations to be accepted as an IUCN Member.
- INGOs must submit a copy of their Statutes/Bylaws/Constitution documents and their **latest annual audited financial statements together with a reconciliation (highlight) to the declaration of operating expenditure**, which is used to calculate the annual IUCN membership dues. If the organisation is not required to have a statutory audit the **latest annual financial statements** approved by the Board or governing body can be provided. Operating expenditure is defined as the expenditure arising in the course of ordinary activities of the organisation and which is considered to be **recurrent and annual. It does not include one-time investments.**

Here is a list of items that would normally be included in operating expenditure:

audit fees - bank interest and charges - building rental – cleaning - communication costs (internet, phone, fax, etc) – consultants – depreciation – equipment – insurance - information technology costs - legal and professional fees - meetings and workshops - monitoring and evaluation - printing and publication costs - provisions and write offs - repairs and maintenance – security - staff salaries and benefits - sundry administrative costs (office supplies, etc) – training - translation and interpretation - vehicles and fuel water, electricity, gas, etc.

- INGOs must submit a report showing the record of their activities in two or more States and a proof of their out posted legally registered offices in States/countries, which are different from where the main office or Headquarters is located. Out posted staff based or hosted in partner organisations cannot be considered as “out posted or country offices”.

Indigenous peoples’ organisations (IPOs)

IPOs must comply with the following requirements [IUCN Regulations, Paragraph 5 bis]:

- Be a not-for-profit entity which conforms with the law of the State where its seat is located;
- Have been in existence for at least three years;
- Be autonomous in administration and governance¹⁷; and
- Have, as its primary constituency, indigenous peoples.

Other requirements:

- IPOs must submit a minimum of two letters of endorsement from IUCN Members in good standing¹⁵ or from IUCN National/Regional Committees, IUCN Councillors or IUCN Honorary Members¹⁶. All related links are available on page 8 of this form. Letters of endorsement shall indicate that the seconder knows the applicant organisation and its activities well and therefore can confirm to IUCN that the applicant meets all the requirements prescribed in the IUCN Statutes and Regulations to be accepted as an IUCN Member.
- IPOs must submit a copy of their Statutes/Bylaws/Constitution documents and their **latest annual audited financial statements together with a reconciliation (highlight) to the declaration of operating expenditure**, which is used to calculate the annual IUCN membership dues. If the organisation is not required to have a statutory audit the **latest annual financial statements** approved by the Board or governing body can be provided. Operating expenditure is defined as the expenditure arising in the course of ordinary activities of the organisation and which is considered to be **recurrent and annual. It does not include one-time investments.**

¹⁵ In good standing means that the Member is up-to-date in the payment of its IUCN membership dues up to and including the year preceding the membership application request.

¹⁶ When letters of endorsement are submitted by IUCN Councillors or Honorary Members, any formal or informal relationships with the applicant must be detailed and disclosed at the time of endorsement.

¹⁷ Is deemed to mean an organisation whose decision-making processes adhere to the provision contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and is not controlled or duly influenced through financial or other pressures exerted by government agencies or public or private entities.

Here is a list of items that would normally be included in operating expenditure:

audit fees - bank interest and charges - building rental – cleaning - communication costs (internet, phone, fax, etc) – consultants – depreciation – equipment – insurance - information technology costs - legal and professional fees - meetings and workshops - monitoring and evaluation - printing and publication costs - provisions and write offs - repairs and maintenance – security - staff salaries and benefits - sundry administrative costs (office supplies, etc) – training - translation and interpretation - vehicles and fuel water, electricity, gas, etc.

Affiliates (AF)

Government agencies and National/International Non-Governmental Organisations wishing to apply as Affiliates, are still required to fulfil the requirements of the relative aforementioned membership categories (refer to the above requirements depending on the status of your organisation/institution).

All Affiliate Members pay the same rate, as indicated in the [Membership Dues Guide](#), and therefore it is not necessary to provide a copy of your latest annual audited financial report with your application.

Affiliate Members do not have the right to vote, nominate candidates or submit Motions to the World Conservation Congress (Article 12 (b) of IUCN Statutes).

What are the main steps of the IUCN Membership application/admission process?

(IUCN Regulations, Articles 12-18, describe the application process.)

- Deadlines for membership applications to be received by the Director General are 31 March, 30 June, 30 September and 31 December every year. During the admission process, all communications will be undertaken via electronic means (email).
- [The Membership Focal Point in your region](#) will ensure that your application is complete and make a first evaluation of your application based on the requirements of the IUCN Statutes and Regulations. It will then be sent to the Union Development Group at IUCN Headquarters for final review, consolidation and processing.
- The Director General will email notice of the applications, together with the appropriate information on the applicants, to existing IUCN Members.
- Members eligible to vote have the right to object to an application. Any such objection must reach the Director General within four weeks from the Director General's notification referred to in Regulation 14. Such an objection can only be made on the grounds that the applicant does not meet the requirements of Membership provided in the Statutes or prescribed in the Regulations. Any objections need to detail the specific grounds and particulars on which the objection is based.
- The applicant will then be given an opportunity to respond to the objection within three weeks from the Director General's notification of the objection to the applicant. The application and other related documents (except financial information), the objection and the reply from the applicant, may be shared with the relevant IUCN National/Regional Committee and other IUCN constituents as part of the due diligence process. The Membership Unit will submit the file to the Governance and Constituency Committee of the IUCN Council, which, prior to each Council/Bureau meeting, considers the applications and makes recommendations to the Council/Bureau regarding the admission of applicant Members.
- The Council, and if not in session, the Bureau, shall take a decision on membership applications within a reasonable time following quarterly application deadlines. The Bureau shall seek Council's advice in a case where there is controversy associated with an application.
- Your [Membership Focal Point](#) will inform you of the Council/Bureau's decision via email. Please note that if your organisation is admitted as an IUCN Member, all subsequent communications will also be undertaken via electronic means.

Guidance on filling in the application form

- This application form has been designed for use with Microsoft Word versions 2003, 2007 and 2010.
- The application form is structured with 'form fields' which you should fill in to complete the form. These fields are highlighted by their light grey background. To enter your response, please click on the highlighted fields. Some fields restrict the values you can enter (dates, numbers, etc.) depending on the question.
- You can move from one field to another using the tabulation key.
- To select an option, simply click on the corresponding box. A cross will appear in the box to identify your selection. If you make a mistake, click the box again to clear it and then click the appropriate box.
- The text entry sections of the application form have a fixed font and length. Your answers must fit in the spaces provided on the application form.
- The signature boxes are unprotected and allow you to insert your electronic signature. Alternatively, you can print the form, sign it and return it to us by mail, or electronically as a scanned document (PDF format preferred).

Problems or questions?

Please contact the [IUCN Membership Focal Point](#) in your region who will be happy to answer all your questions.

To learn more about IUCN, visit our public website: www.iucn.org



Membership Application Form

Supporting documentation (for Government agencies, National and International Non-Governmental Organisations, Indigenous peoples' organisations and Affiliates):

The application form and the accompanying documentation must be sent in one of the official IUCN languages: English, Spanish or French.

When submitting your application, please ensure that you have provided all the necessary information:

Checklist:

(please tick the boxes relevant to your organisation/institution)

- Statutes/Bylaws/Articles of Association/ other statutory document of your organisation**
↪ *This is only required for National/International Non-Governmental Organisations, Indigenous peoples' organisations and NGOs/IPOs applying as Affiliates.*
In order to verify that your organisation complies with IUCN Regulations.

- Latest annual audited financial statements together with a reconciliation (highlight) to the declaration of operating expenditure¹⁸. If the organisation is not required to have a statutory audit the latest annual financial statements approved by the Board or governing body can be provided.**
↪ *This is only required for National, International Non-Governmental Organisations and Indigenous peoples' organisations.*

The dues scale for National, International Non-Governmental Organisations and Indigenous peoples' organisations comprises nine different dues groups. Membership dues for National, International NGOs and IPOs are calculated based on the organisation's operating expenditure¹⁸. Applicant organisations are requested to provide appropriate financial information so that the IUCN Secretariat may determine their dues group.

Please consult the [Membership Dues Guide](https://www.iucn.org/sites/dev/files/membership_dues_guide_2017-2020_en_final.pdf) (https://www.iucn.org/sites/dev/files/membership_dues_guide_2017-2020_en_final.pdf)

NB: Please note that existing Members must inform the IUCN Secretariat of any important changes in their organisation which may affect their organisation's membership of IUCN, such as the category of membership or the dues group. If their Statutes and/or expenses have significantly changed since their organisation joined IUCN, they are requested to provide their [Membership Focal Point](#) with their organisation's most recent Statutes and/or financial report, including the details of their organisation's operating expenses.

- Two letters of endorsement from IUCN Members in good standing¹⁹ or from IUCN National/Regional Committees, IUCN Councillors or IUCN Honorary Members²⁰.**
↪ *This is only required for National/International Non-Governmental Organisations and Indigenous peoples' organisations, and for NGOs/IPOs applying as Affiliates.*

Please consult: The Members' database: <https://www.iucn.org/secretariat/membership/about/union/members/who-are-our-members> - Our list of National and Regional Committees: <https://www.iucn.org/secretariat/about/union/members/national-and-regional-committees>
IUCN Councillors: <https://www.iucn.org/about/council/members> - Honorary Members : <https://www.iucn.org/about/union/members/iucn-awards/honorary-membership-iucn>

- Deposit corresponding to the entire current year of membership**
The membership dues deposit may be paid by bank transfer, by credit card; by cheque. Payment details are given on the last page of this application form. Please consult the [Membership Dues Guide](#).

- Report of activities in two or more States and proof of out posted legally registered offices**
↪ *This is only required for International Non-Governmental Organisations.*

- Statement by the head of the agency setting forth its competence to adhere to the Statutes**
↪ *This is only required for Government agencies.*

The statement is available for signature on page 16 of this application form.

We can only process your application if all of the above has been received by the relevant application deadline.

¹⁸ Operating expenditure is defined as the expenditure arising in the course of ordinary activities of the organisation and which is considered to be recurrent and annual. Operating expenditure does not include one-time investments.

¹⁹ In good standing means that the Member is up-to-date in the payment of its IUCN membership dues.

²⁰ When letters of endorsement are submitted by IUCN Councillors or Honorary Members, any formal or informal relationships with the applicant must be detailed and disclosed at the time of endorsement.



Category of IUCN membership applied for:

(please tick one of the boxes)

- Government agency
- National non-governmental organisation
- International non-governmental organisation
- Indigenous peoples' organisation
- Affiliate (non-voting Member)

General Information

(please enter the text in the frames or tick as appropriate)

Name of organisation *(in your own language if you use the Roman alphabet)*:

Official translation of your organisation's name into English:

Acronym: _____ Date of foundation of your organisation: _____ *(dd/mm/yyyy)*

For NGOs, INGOs and IPOs: Please indicate the amount of your organisation's annual operating expenditure in US dollars, corresponding to your latest annual audited report: USD _____

Preferred IUCN official language of your organisation: English Spanish French

Address

Street Address:

Street & Street Nr: _____

City: _____ Postal code: _____

Province/State: _____ Country: _____

Telephone:

Country code	Area code	Number
+		

Fax:

Country code	Area code	Number
+		

Email: _____

Website: _____

Mailing address *(if different from the street address):*

Street & Street Nr or P.O. Box: _____

City: _____ Postal code: _____

Province/State: _____ Country: _____

Contacts for relations with IUCN

Please indicate in the sections below the contact details for the staff from your organisation who will be the main contact persons for relations with IUCN. It is important that you inform IUCN on a regular basis of any changes linked to these contacts (eg. staff leaving the organisation, change of e-mail address, etc), so that we can keep our database up-to-date.

Primary contact

This person will receive all correspondence from IUCN and is responsible for dissemination within your organisation. If you wish to nominate additional primary contacts, please contact the [Membership Focal Point](#) in your region.

Title: (Mr/ Mrs/Ms/Dr/ Prof /Other) _____ Male Female

First name: _____

Family name: _____

Position: _____

Department: _____

Telephone: Country code Area code Number
+ _____

Email _____

Preferred language for receiving correspondence English Spanish French

Financial contact

This person will receive the invoice for the payment of membership dues and will be contacted for any membership dues issues. If you wish to nominate additional financial contacts, please contact the [Membership Focal Point](#) in your region. (To be filled in case it is a different person than main contact mentioned above)

Title: (Mr/ Mrs/Ms/Dr/ Prof /Other) _____ Male Female

First name: _____

Family name: _____

Position: _____

Department: _____

Telephone: Country code Area code Number
+ _____

Email _____

Preferred language for receiving correspondence English Spanish French
N.B. The annual invoice will be sent in the preferred language of your organisation as indicated above.

Head of organisation

Please indicate the name of your Head of organisation (CEO/Director General, etc). This person will only be contacted for matters of the highest importance, e.g. to designate the Head of Delegation for Congress, for any electronic ballots, etc. (Please complete this section even if the person is the same as the contacts entered above.)

Title: (Mr/ Mrs/Ms/Dr/ Prof /Other) _____ Male Female

First name: _____

Family name: _____

Position: _____

Department: _____

Telephone: _____
Country code Area code Number
+

Email _____

Preferred language for receiving correspondence English Spanish French

Authorized vote holder

The "Authorized vote holder" is the person who is authorized by the Member to receive the link to the electronic system and to cast the Member's vote(s) when electronic votes take place. This role will be allocated by default to the person holding the role of "Head of Organisation" for NGOs, and to the person holding the role of "Primary Contact" for States and Government agencies. If this role should be allocated to someone else, please indicate their contact details below:

Title: (Mr/ Mrs/Ms/Dr/ Prof /Other) _____ Male Female

First name: _____

Family name: _____

Position: _____

Department: _____

Telephone: _____
Country code Area code Number
+

Email _____

Preferred language for receiving correspondence English Spanish French

Information about your organisation:

☞ This is only required for national and international NGOs and NGOs applying as Affiliates

Is your organisation a not-for-profit entity which conforms with the law of the State where its seat is located? Yes No

Does your organisation have a transparent, accountable and representative governance structure?²¹ Yes No

Does your organisation have a board that is autonomous and independent?²² Yes No

Does your organisation have a substantial record of activity in the conservation of nature? Provide concrete examples in the "Achievements" section of this form. Yes No

Comment [FG1]: Question 3 was added here and in different sections below (relevant to each membership category). Other questions added further down.

☞ This is only required for universities or similar institutions:

Is your organisation autonomous in administration and governance?²³ Yes No

☞ This is only required for International NGOs [IUCN Regulations, Paragraph 6] and for International NGOs applying as Affiliates:

List the countries in which your organisation has activities:

List the countries in which your organisation has out posted or country offices reporting back to headquarters²⁴:

Is the governing body of your organisation open to nationals from at least two States? Yes No
If yes, please specify their nationalities when more than one:

Does your organisation have a substantial record of activity in the conservation of nature? Provide concrete examples in the "Achievements" section of this form. Yes No

☞ This is only required for Indigenous peoples' organisations applying for IPO membership

Is your organisation a not-for-profit entity which conforms with the law of the State where its seat is located? Yes No

Is your organisation autonomous in administration and governance?²⁴ Yes No

Does your organisation have, as its primary constituency, indigenous peoples and is it established by indigenous peoples for the advancement of indigenous communities? Yes No

Does your organisation have a substantial record of activity in the conservation of nature? Provide concrete examples in the "Achievements" section of this form. Yes No

²¹ Is deemed to mean that the statutes/articles, regulations/bylaws or other constitutive institutional instruments provide for a governance structure that affords the members of the organisation and/or its Board, fair and adequate participation in the business and governance of the organisation, that require the organisation to be transparent and accountable in its activities, finances and policies, and that such provisions are adhered to in the day-to-day business of the organisation.

²² Is deemed to mean a board whose decision-making processes adhere to the provisions contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and are not controlled or unduly influenced through financial or other pressures exerted by government agencies or public or private entities.

²³ Is deemed to mean an organisation whose decision-making processes adhere to the provision contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and is not controlled or unduly influenced through financial or other pressures exerted by government agencies or public or private entities.

²⁴ Means that the organisation must operate and have activities (i.e. concrete projects) in two or more States. The organisation must have a Headquarter and two or more outposted countries offices reporting back to it. Outposted staff based or hosted in partner organisations in other countries cannot be considered as outposted offices.



Applicant's Mission, Objectives and Activities (for all categories)

As per the Statutes, "the applicant has as one of its central purposes the achievement of IUCN's objectives and a substantial record of activity in the conservation of nature and natural resources.

The objectives and track record of the applicant²⁵ embody to a substantial extent :

- (i) the conservation of the integrity and diversity of nature; and, either or both:
- (ii) the aim to ensure that any use of natural resources is equitable and ecologically sustainable;
- (iii) dedication to influencing, encouraging and assisting societies to meet the objectives of IUCN"

[Statutes, Article 7 (b) and (c)]

IMPORTANT: This section will be used to notify IUCN Members of your application and in the documentation submitted to IUCN Council without editing. Please stick to the maximum number of words indicated for each field otherwise part of your text will be cut.

Name of organisation _____

Country: _____

Description of your organisation/institution:

Maximum 100 words

Mission/Vision of your organisation/institution:

Maximum 100 words

²⁵ These can take many forms, including field action, community involvement, research in the natural and social sciences, policy development, advocacy, legal activities, education and public awareness, and fundraising where these are for purposes in line with the mission of IUCN. While determining the relative importance of an activity is necessarily to some extent subjective, it is here considered that "substantial" can be assessed in terms of the applicant's programme and projects, resource allocations, organisational structures and outputs.

Summary of your organisation's/institution's objectives as they appear in your Statutes / Bylaws / Articles of Association / other statutory document:

Maximum 300 words

Achievements: Describe your organisation's/institution's main achievements from the last three years and indicate any IUCN projects in which your organisation has been involved (i.e. successful projects which have already been implemented, etc):

Maximum 500 words

Additional questions:

Provide concrete examples of how your organisation contributes to conserving the integrity and diversity of nature:

[IUCN's Sustainable Use Policy](#) is central to the achievement of its objectives. This policy requires that all use of natural resources be sustainable, but does not suggest that every species or ecosystems should be used. Please provide concrete examples of how your organisation advances the sustainable and equitable use of resources.

Does your organisation carry out any activities that could be seen as conflicting with the conservation of the integrity and the diversity of nature and the sustainable use of resources? If so, please specify.

How do you ensure that if one of your organisation's campaigns, if any, is successful, the results do not negatively impact other species and/or areas of conservation including on the work of existing IUCN Members?

Map the activities of your organisation against the IUCN Programme 2017-2020²⁶ results that IUCN Programme Areas aim to have a positive impact on:

- 1: Valuing and conserving nature**
The activities of your organisation ensure that the conservation status of biodiversity is enhanced.
- 2: Promoting and supporting effective and equitable governance of natural resources**
The activities of your organisation ensure that IUCN's work on people-nature relations, rights and responsibilities and the political economy of nature is consolidated.
- 3: Deploying nature-based solutions to address societal challenges**
The activities of your organisation address the global challenges (climate change, food, development) through the use of nature-based solutions

²⁶ The *IUCN Programme 2017-2020* identifies three Programme Areas (Valuing and Conserving Nature, Promoting and supporting effective and equitable governance of nature's use, Deploying nature-based solutions to address societal challenges in climate, food, development) and a related set of thematic results. These Areas target critical issues that need to be addressed to tackle the conservation challenges of today and tomorrow, and to reflect the lessons we have learned in the implementation of previous programmes of work. To read more about the IUCN Programme, please consult our website: <https://www.iucn.org/secretariat/about/programme-work-and-reporting/programme>

Comment [FG2]: Other 4 questions added here. This section is shared with Members when the applications are circulated. If you prefer that these questions/answers are not shared with Members, I can add these questions in another section of the application form, which is not shared with Members.

Reason for joining IUCN

- To share knowledge**
- To network/establish partnerships**
- To influence the environmental policy**
- Other:**

Maximum 50 words



AUTHORIZATION

➤ **This page must be completed by the duly authorized Head of agency/organisation/institution.**

As Head of the agency/organisation/institution I hereby confirm that the information contained in this application is correct and that (name of organisation) shares and supports the objectives of IUCN, as required by Regulation 9 of the IUCN Statutes.

The below area is not protected to allow the inclusion of your electronic signature. (To insert the electronic signature: On the Insert tab, in the Illustrations group, click Picture. Locate the signature that you want to insert. Double-click the picture that you want to insert.) PLEASE USE THE ARROW KEY TO MOVE TO THE NEXT FIELD.

Title: (Mr/ Mrs/Ms/Dr/ Prof /Other) _____

First name: _____

Family name: _____

Position: _____

Date: (dd/mm/yyyy)

Signature: _____

Additional signature (if required by your organisation):

Title: (Mr/ Mrs/Ms/Dr/ Prof /Other) _____

First name: _____

Family name: _____

Position: _____

Date: (dd/mm/yyyy)

Signature: _____

➤ **This is only required for Government agencies and Government agencies applying as Affiliates.**

As Head of the agency/institution, I hereby confirm that (name of agency) is competent to adhere to IUCN Statutes, as required by Regulation 4 of IUCN Statutes and that this application conforms with the laws of the State in which the agency/institution is located.

Title: (Mr/ Mrs/Ms/Dr/ Prof /Other) _____

First name: _____

Family name: _____

Position: _____

Date: (dd/mm/yyyy)

Signature: _____

Assessment form for membership applications

GA: Government agency

IN: International non-governmental organisation

NG: National non-governmental organisation

IP: Indigenous peoples' organisations

AF: Affiliates

NC: National/Regional Committee

CL: Councillor

RO: Regional office

Applicant category and ID number:	National NGO – NG/2562
Organisation name (original):	xxx
Organisation name (in English¹):	xxx
Country/territory/State and Statutory Region:	France, West Europe
To be presented for admission on/in: (by MU)	November 2017

Ref	Requirement / admission criteria	What needs to be checked by category							Due diligence checks ²				Does it meet IUCN requirements?	Clarification on why it does not meet IUCN requirements?
		GA	IN	NG	Univ. ³	IP	AF ⁴	NC	CL	RO	Web	Yes –no - n/a	(existing texts are examples)	
Art. 5b	Forms part of the State Machinery	x					x (for GA only)						n/a	
Art. 5d/e	Incorporated within a State <i>[document of incorporation (not compulsory to send) OR applicant's statutes]</i>		x	yes	x		x (for IN/NG/Univ. only)						yes	
Art. 5f	Shall be institutions and associations established by indigenous peoples for the advancement of indigenous communities <i>[applicant's statutes/incorporation doc.]</i>					x	x (for IP only)						n/a	
Art. 7a	Shares and supports IUCN objectives <i>[applicant's statutes]</i>	x	x	Yes	x	x	x	y	y	y	y		yes	
Art. 7b	Has one of its central purposes to achieve IUCN's objectives around nature conservation (described in Art. 2) <i>[applicant's statutes]</i>	x	x	yes	x	x	x	y	y	y	y		yes	
Art. 7b	Has substantial record in conservation of nature <i>[Application Form > Achievements]</i>	x	x	no	x	x	x	y	y	y	y		no	No track record in conservation
Art. 7c	Objectives and track record embody: i) <i>conservation of the integrity and diversity of nature; and, either or both⁵;</i> ii) <i>aim to ensure that any use of natural resources is equitable and ecologically sustainable</i> iii) <i>dedication to influencing, encouraging and assisting societies to meet the objectives of IUCN</i>	x	x	no	x	x	x	y	y	y	y		No	Does not aim for sustainable use of natural resources

¹ This should be the official existing translation or an agreed translation as provided by a reliable translator. MFPs should check that the translation is accurate. UDG can assist with the translation of the name if necessary.

² Relevant National Committees, if any, Regional Offices and regional Councillors will be requested to answer a set of questions to confirm that the applicant meets with IUCN requirements.

³ Universities are part of the NG category, but have to fulfil slightly different criteria.

⁴ GA/IN/NG/IP wishing to apply as AF are still required to fulfil the basic requirements of GA/IN/NG/IP respectively. Indications are provided in the AF column accordingly. For example for a GA applying as AF, it is essential that this GA complies with Article 5(b) of the Statutes, being one of the criteria for admission of a GA. Whereas, an NG/IN would have to comply with Article 5 (d/e) of the Statutes but not 5 (b).

⁵ Has to meet criterion (i) and at least one of the criteria (ii) or (iii).

Ref	Requirement / admission criteria	What needs to be checked by category						Due diligence checks ²				Does it meet IUCN requirements?	Clarification on why it does not meet IUCN requirements? <i>(existing texts are examples)</i>
		GA	IN	NG	Univ. ³	IP	AF ⁴	NC	CL	RO	Web		
Art. 7d	Does not pursue activities that conflict with IUCN's objectives/activities <i>[applicant's statutes]</i>	x	x	yes	x	x	x	y	y	y	y	No	Does not aim for sustainable use
Additional questions set by GCC	1) Contributes to conserving the integrity and diversity of nature.		x	yes	x	x	x					Yes	Does not aim for sustainable use No track record in conservation Some activities do conflict with IUCN objectives Yes it does ensure by xxx
	2) Confirms that the IUCN's Sustainable Use Policy is central to the achievement of its objectives. This policy requires that all use of natural resources be sustainable, but does not suggest that every species or ecosystems should be used. The applicant confirms that its organisation advances the sustainable and equitable use of resources.		x	no	x	x	x					no	
	3) Has a substantial record of activity in the conservation of nature		x	no	x	x	x					no	
	4) Does not carry out any activities that could be seen as conflicting with the conservation of the integrity and the diversity of nature and the sustainable use of resources.		x	yes	x	x	x					No	
	5) Ensures that if one of the organisation's campaigns is successful, the results do not negatively impact other species and/or areas of conservation including on the work of existing IUCN Members		x	yes	x	x	x					Yes	
Reg. 5a(i) Reg. 5b(i) Reg. 5bis(i) Reg. 6a	Is Not-for-profit <i>[applicant's statutes]</i>		x	x	x	x	x (for IN/NG/Univ. only)			y	Y	Yes	
Reg. 5a(ii) Reg. 5b(ii) Reg. 5bis(ii) Reg. 6b	Has been in existence for at least 3 years <i>[document of incorporation (not compulsory to send) OR applicant's statutes]</i>		x	x	x	x	x (for IN/NG/Univ. only)			y	Y	Yes	
Reg. 5a(iii) Reg. 6f	Has a board that is autonomous and independent ⁶ <i>[applicant's statutes]</i>		x	x			x (for IN/NG only)		n	y	y	Yes	

⁶ Is deemed to mean a board whose decision-making processes adhere to the provisions contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and are not controlled or unduly influenced through financial or other pressures exerted by government agencies or public or private entities.

Ref	Requirement / admission criteria	What needs to be checked by category						Due diligence checks ²				Does it meet IUCN requirements?	Clarification on why it does not meet IUCN requirements?
		GA	IN	NG	Univ. ³	IP	AF ⁴	NC	CL	RO	Web		
Reg. 5b (iv) Reg. 5bis(iii)	Is autonomous in administration and governance <i>[applicant's statutes]</i>				x	x	x (for Univ. only)		n	y	Y	Yes	
Reg. 5a (iv) Reg. 6e	Has a transparent, accountable and representative governance structure ⁷ <i>[applicant's statutes]</i>		x	x			x (for IN/NG only)		N	y	y	Yes	
Reg. 5b (iii)	Is an academic or professional entity of high standing				x		x (for Univ. only)					n/a	
Reg. 5bis(iv)	Has, as its primary constituency, indigenous peoples <i>[applicant's statutes]</i> .						x (for IP only)					n/a	
Reg. 6c	Has a substantial record of activity in two or more States and out posted or country offices ⁸ <i>[Application Form > Mission, Objectives and Activities]</i>		x				x (for IN only)					n/a	
Reg. 6d	Board is open to nationals from at least two States ⁹ <i>[applicant's statutes]</i>		x				x (for IN only)					n/a	

What documents need to be provided by category and what needs to be done by IUCN							Does it meet IUCN requirements?	Clarification on why it does not meet IUCN requirements?
Ref	Requirement / admission criteria	GA	IN	NG (incl. Univ)	IP	AF	Yes –no - n/a	
Reg. 4	Authorization to adhere to IUCN Statutes, is signed by Head of the Organisation <i>[Application Form, page 14-15, signature page]</i>	x				x (for GA only)	yes	
Reg. 7, 9	Application form and authorization, endorsing IUCN's objectives, is signed by Head of the Organisation <i>[Application Form, page 14-15, signature page]</i>	x	x	yes	x	x	yes	

⁷ Is deemed to mean that the statutes/articles, regulations/bylaws and other constitutive institutional instruments provide for a governance structure that affords the members of the organisation fair and adequate participation in the business and governance of the organisation, that require the organisation to be transparent and accountable in its activities, finances and policies, and that such provisions are adhered to in the day-to-day business of the organisation.

⁸ "Outposted or country offices" means that the organisation must have a registered office (legal seat) in at least two countries. Outposted staff based in partner organisations in other countries cannot be considered as "outposted or country offices".

⁹ The Organisation's Statutes should state that their Board is open to nationals from other countries (if not, written confirmation is required). NB: If the current Board is composed of nationals from only one country, it does not necessarily imply that it is closed to other nationalities: check!!

What documents need to be provided by category and what needs to be done by IUCN							Does it meet IUCN requirements?	Clarification on why it does not meet IUCN requirements?
Ref	Requirement / admission criteria	GA	IN	NG (incl. Univ)	IP	AF	Yes –no - n/a	(existing texts are examples)
Reg. 8	Letters of endorsement (min. 2) from IUCN Members in good standing ¹⁰ or from IUCN National/Regional Committees or from IUCN Councillors or Honorary Members <i>(providing that there are no conflict of interest for the last two groups¹¹)</i> : (if letters come from IUCN Members, indicate Member ID, name of org, country)		x	Yes	x	x (for NG/IN/IP only)	Yes	One question was not addressed through the letters but endorsement is approved as is
	Statutes/Bylaws/Constitution document(s) received		x	Yes	x	X (for NG/IN/IP only)	No	See above
	Financial report validating operational expenditures of USD ¹² received		x	Yes	x		Yes	
Reg. 10	Deposit of CHF ¹³ : processed on _____ by _____ credit card / bank transfer / cheque / through Regional office (by MFP) Received at HQ on: _____ (by MU)	x	x	yes	x	x	Yes	
MU process	Assessment form completed (by MFP) and checked by MU	x	x	Yes	x	x	Yes	
MU process	Relevant IUCN Programme/country office staff do not have any particular issues with the applicant (by MFP)	x	x	Yes	x	x	No	See above
MU process	Organisation, application form and documents entered in CRM (by MFP) !!! CHECK: original and English name, website, text length for description, mission, objectives and achievements]	x	x	yes	x	x	Yes	

MFP/UDG comments

Completed on: 20.09.2017

by: Fleurange Gilmour

¹⁰ "In good standing" means that the Member has paid all of its outstanding membership dues up to and including the year preceding the date when Council considers the application. It is the responsibility of the applicant to find endorsers.

¹¹ When letters of endorsement are submitted by IUCN Councillors or Honorary Members, any formal or informal relationships with the applicant must be detailed and disclosed at the time of endorsement. Letters of endorsement shall indicate that the seconder knows well the applicant organisation and its activities and therefore can confirm to IUCN that the applicant meets all the requirements prescribed in the IUCN Statutes and Regulations to be accepted as an IUCN Member. Letters of endorsement should address the set of questions approved by GCC. If not all addressed, applicants should not be penalized.

¹² Operational expenditure is considered as annual and recurring expenses (staff salaries, building rental, administration costs, etc).

¹³ Deposit equals the first year of Membership dues. Once the applicant is admitted, the deposit will be re-calculated pro-rata based on the Member admission date, and the difference carried forward. If not admitted, the deposit will be refunded.

Article 7 of the IUCN Statutes – Background information

1) Decision from May 2011 - 76th Council

C/76/35

COUNCIL DECISION

Council, on the recommendation of the Constituency Committee,
DECIDED to present a motion proposing to Congress the following amendment to Article 7 of the IUCN Statutes:

[...]

- (a) *the applicant shares and supports the objectives of IUCN;*
- (b) *the objectives and track record of the applicant reflect at least one of the following:*
 - i. *the conservation of the integrity and diversity of nature;*
 - ii. *the aim to ensure that any use of natural resources is equitable and ecologically sustainable;*
 - iii. *the dedication to influencing, encouraging and assisting societies for the above purposes;*
- (c) *the applicant does not pursue objectives or carry out activities that conflict with the objectives or activities of IUCN;*
- ~~(c) *the applicant has as one of its central purposes the achievement of IUCN's mission and a substantial record of activity in the conservation of nature and natural resources; and*~~
- (d) *the applicant meets the other qualifications for membership as prescribed in the Regulations.*

2) Decision from November 2011 – 77th Council

Based on different views but mainly the one from George Greene and Javed Jabbar, “George Greene proposed that the intention of including b) iii) was to enable organisations that are for example communication focused and dedicated to influencing be encouraged to apply for membership. He proposed to modify the proposed amendment to refer to ‘two’ in b) and to retain the first part of d) which had been removed from the proposed amendment by Council in May. Javed Jabbar proposed to replace ‘reflect’ by ‘embody’”, the text was changed to the following:

C/77/35

COUNCIL DECISION

Council,

DECIDES to present a motion proposing to Congress the following amendment to Article 7 of the IUCN Statutes thereby modifying its decision C/76/35 (May 2011):

Government agencies, national and international non-governmental organizations and affiliates shall become Members of IUCN when the Council has determined that:

- (a) *the applicant shares and supports the objectives of IUCN;*
- (b) *the objectives and track record of the applicant embody at least two of the following:*
 - i. *the conservation of the integrity and diversity of nature;*
 - ii. *the aim to ensure that any use of natural resources is equitable and ecologically sustainable;*
 - iii. *the dedication to influencing, encouraging and assisting societies for the above purposes;*
- (c) *the applicant does not pursue objectives or carry out activities that conflict with the objectives or activities of IUCN;*
- (d) ~~*the applicant has as one of its central purposes the achievement of IUCN's mission and a substantial record of activity in the conservation of nature and natural resources; and*~~
- (e) *the applicant meets the other qualifications for membership as prescribed in the Regulations.*

3) Decision from February 2012 – 78th Council

The draft motion proposed for the 2012 Congress, as adopted by the 78th Council in February 2012, was almost the same text than the one approved in November 2011, except that in b) “to a substantial extent” was added. The rationale is explained below:

Rationale

Evaluating the suitability of an applicant with the requirements of Article 7 at present involves, to some extent, a subjective assessment. By proposing Congress to adopt the proposed amendments to Article 7 of the Statutes, Council intends to give more specific guidance to the IUCN Council as to what are the objectives and the track record that it is required to review when considering an application for admission.

Council is of the view that membership of IUCN need no longer be limited to agencies or organizations that are only active in conservation of nature and natural resources. This is particularly relevant in the context of the draft new IUCN Programme 2013-2016 which aims to integrate the work of communities engaged in biodiversity conservation, nature-based solutions and sustainable development. Each element of the Programme Purpose bridges the biodiversity, sustainability and development communities and addresses nature's benefits to people's livelihoods.

The amendment therefore requires Council to make sure that the agency or organization applying for membership meets at least two of the three criteria of littera (b) of Article 7 of the Statutes as revised. As a result, organizations that are not traditional conservation organizations but focus on sustainable use - e.g. agriculture policy or sustainable agriculture institutions – could join as well as organizations focusing on communication and education of conservation or of sustainable use.

The proposed amendments were presented by members of Council to the Regional Conservation Forums held from May to October 2011. Generally, Members have been supportive to broadening the membership base of IUCN in the sense described above.

DRAFT MOTION

The IUCN World Conservation Congress,

Adopts the following amendments to the IUCN Statutes:

Amend Article 7 of the IUCN Statutes and renumber the remaining paragraphs as follows: (existing text to be removed, if any, in strike through; proposed new text *in blue italics*)

Government agencies, national and international non-governmental organizations and affiliates shall become Members of IUCN when the Council has determined that:

- (a) the applicant shares and supports the objectives of IUCN;
- (b) *the objectives and track record of the applicant embody to a substantial extent at least two of the following:*
 - i. the conservation of the integrity and diversity of nature;*
 - ii. the aim to ensure that any use of natural resources is equitable and ecologically sustainable;*
 - iii. the dedication to influencing, encouraging and assisting societies for at least one of the above purposes;*
- (c) the applicant does not pursue objectives or carry out activities that conflict with the objectives or activities of IUCN;
- (d) the applicant has as one of its central purposes the achievement of IUCN's mission and a substantial record of activity in the conservation of nature and natural resources; and
- (e) the applicant meets the other qualifications for membership as prescribed in the Regulations.

4) Decision from September 2012 – World Conservation Congress

The following, which is the current Article 7, was adopted by the 2012 Congress in Jeju. As indicated below, changes were made by the working group in Jeju.

Statutory Reform 9.4.1/6 *Proposed amendments to the IUCN Statutes concerning membership admission criteria.*

The revised text arising from the Contact Group established for this proposal was adopted without further substantive amendment, but subject to harmonization between language versions in paragraph (c) i and inclusion of minor editorial corrections.

DECISION 20

The IUCN World Conservation Congress,

Adopts the following amendment to Article 7 of the IUCN Statutes:

Government agencies, national and international non-governmental organizations and affiliates shall become Members of IUCN when the Council has determined that:

- a) the applicant shares and supports the objectives of IUCN;
- b) the applicant has as one of its central purposes the achievement of IUCN's ~~mission~~ objectives and a substantial record of activity in the conservation of nature and natural resources;
- c) the objectives and track record of the applicant embody to a substantial extent:

- i) the conservation of the integrity and diversity of nature; and, either or both:
- ii) the aim to ensure that any use of natural resources is equitable and ecologically sustainable;
- iii) dedication to influencing, encouraging and assisting societies to meet the objectives of IUCN;

- d) the applicant does not pursue objectives or carry out activities that conflict with the objectives or activities of IUCN; and
- e) the applicant meets the other qualifications for membership as prescribed in the Regulations.

Based on the above considerations, and on the current wording of Article 7, it's clear that at present, **applicants do not have to adhere to all objectives at all times** and that they **do not have to specifically adhere to the sustainable use policy to become a Member**.



94th Meeting of the IUCN Council, Gland (Switzerland), 29 April-2 May 2018

13th Meeting of the Governance and Constituency Committee

Agenda Item GCC13/2.2

Change of category or name of IUCN Members

Origin: Director General

REQUIRED ACTION:

The Governance and Constituency Committee is invited to:

1. Make a recommendation to Council regarding the request from one current IUCN Member, the Helsinki Zoo Foundation in Finland to change its membership category from Affiliate to National NGO;
2. Take note of the change of name of two current Member organisations and inform the Council of these name changes.

Background

1. Change of membership category of one current IUCN Member organisation

Pursuant to Regulation 21, the Governance and Constituency Committee is requested to consider the request from one current Member, the Helsinki Zoo Foundation (AF/25603) in Finland, to change its membership category, from Affiliate to National NGO, and to make a recommendation to the 94th meeting of Council for decision.

The Helsinki Zoo Foundation (formerly called the Helsinki Zoo – refer to name change section below), joined IUCN as Affiliate Member in August 2016. They became a Foundation in January 2018, thus requesting for a change of membership category to National NGO. The Secretariat confirms that they meet the requirements for this category. An assessment form completed by the Secretariat is available as [Annex I](#).

Regulation 21 states that “*On request or after due notice, the Council shall transfer a Member to another group of membership, if in the opinion of a two-thirds majority of the Council, that Member is incorrectly classified. The Members of IUCN shall be notified of the transfer, together with the reasons. If within ninety days following this notification an objection is lodged by the Member in question or another Member eligible to vote, the transfer shall be submitted to the World Congress for ratification*”.

2. Change of name of two current IUCN Member organisations

The Governance and Constituency Committee is requested to take note of the recent change of name of the following two current IUCN Member organisations and to inform Council accordingly:

Member ID	Country	Previous name	New name
IP/25031	Guatemala	Centro para la Investigación y Planificación del Desarrollo Maya SOTZ'IL	Asociacion SOTZ'IL
AF/25603*	Finland	Helsinki Zoo	Helsinki Zoo Foundation

* being considered for a change of category to National NGO

Assessment form for change of membership category

Annex I

GA: Government agency

NG: National non-governmental organisation

IN: International non-governmental organisation

IP: Indigenous peoples' organisations

AF: Affiliates

Current category and ID number:	AF/25603
New category and ID number:	NG/25603
Organisation name (original):	Helsinki Zoo Foundation
State and Statutory Region:	Finland, West Europe
To be presented for approval on/in: (by MU)	April-May 2018

Ref	Requirement / admission criteria	What needs to be checked by category						Does it comply?
		GA	IN	NG	Univ. ¹	IP	AF ²	Yes –no - n/a
Art. 5b	Forms part of the State Machinery	X					X (for GA only)	n/a
Art. 5d/e	Incorporated within a State <i>[document of incorporation (not compulsory to send) OR applicant's statutes]</i>		X	X	X		X (for IN/NG/Univ. only)	n/a
Art. 5f	Shall be institutions and associations established by indigenous peoples for the advancement of indigenous communities <i>[applicant's statutes/incorporation doc.]</i>					X	X (for IP only)	n/a
Art. 7a	Shares and supports IUCN objectives <i>[applicant's statutes]</i>	X	X	X	X	X	X	✓
Art. 7b	Has one of its central purposes to achieve IUCN's objectives (described in Art. 2) <i>[applicant's statutes]</i>	X	X	X	X	X	X	✓
Art. 7b	Has substantial record in conservation of nature <i>[Application Form > Achievements]</i>	X	X	X	X	X	X	✓
Art. 7c	Objectives and track record embody: i) <i>conservation of the integrity and diversity of nature; and, either or both³:</i> ii) <i>aim to ensure that any use of natural resources is equitable and ecologically sustainable</i> iii) <i>dedication to influencing, encouraging and assisting societies to meet the objectives of IUCN</i>	X	X	X	X	X	X	✓
Art. 7d	Does not pursue activities that conflict with IUCN's objectives/activities <i>[applicant's statutes]</i>	X	X	X	X	X	X	✓
Reg. 5a(i) Reg. 5b(i) Reg. 5bis(i) Reg. 6a	Is Not-for-profit <i>[applicant's statutes]</i>		X	X	X	X	X (for IN/NG/Univ. only)	✓
Reg. 5a(ii) Reg. 5b(ii) Reg. 5bis(ii) Reg. 6b	Has been in existence for at least 3 years <i>[document of incorporation (not compulsory to send) OR applicant's statutes]</i>		X	X	X	X	X (for IN/NG/Univ. only)	✓
Reg. 5a(iii) Reg. 6f	Has a board that is autonomous and independent ⁴ <i>[applicant's statutes]</i>		X	X			X (for IN/NG only)	✓
Reg. 5b (iv) Reg. 5bis(iii)	Is autonomous in administration and governance <i>[applicant's statutes]</i>				X	X	X (for Univ. only)	n/a
Reg. 5a (iv) Reg. 6e	Has a transparent, accountable and representative governance structure ⁵ <i>[applicant's statutes]</i>		X	X			X (for IN/NG only)	✓
Reg. 5b (iii)	Is an academic or professional entity of high standing				X		X (for Univ. only)	n/a

¹ Universities are part of the NG category, but have to fulfil slightly different criteria.

² GA/IN/NG/IP wishing to apply as AF are still required to fulfil the basic requirements of GA/IN/NG/IP respectively. Indications are provided in the AF column accordingly. For example for a GA applying as AF, it is essential that this GA complies with Article 5(b) of the Statutes, being one of the criteria for admission of a GA. Whereas, an NG/IN would have to comply with Article 5 (d/e) of the Statutes but not 5 (b).

³ Has to meet criterion (i) and at least one of the criteria (ii) or (iii).

⁴ Is deemed to mean a board whose decision-making processes adhere to the provisions contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and are not controlled or unduly influenced through financial or other pressures exerted by government agencies or public or private entities.

⁵ Is deemed to mean that the statutes/articles, regulations/bylaws and other constitutive institutional instruments provide for a governance structure that affords the members of the organisation fair and adequate participation in the business and governance of the organisation, that require the organisation to be transparent and accountable in its activities, finances and policies, and that such provisions are adhered to in the day-to-day business of the organisation.

Ref	Requirement / admission criteria	What needs to be checked by category						Does it comply?
		GA	IN	NG	Univ. ⁶	IP	AF ⁷	Yes –no - n/a
Reg. 5bis(iv)	Has, as its primary constituency, indigenous peoples <i>[applicant's statutes]</i> .					x		n/a
Reg. 6c	Has a substantial record of activity in two or more States and out posted or country offices ⁸ <i>[Application Form > Mission, Objectives and Activities]</i>		x				x (for IN only)	n/a
Reg. 6d	Board is open to nationals from at least two States ⁹ <i>[applicant's statutes]</i>		x				x (for IN only)	n/a

MFP/UDG comments

Completed on: 3 April 2018

by: Fleurange Gilmour

⁶ Universities are part of the NG category, but have to fulfil slightly different criteria.

⁷ GA/IN/NG/IP wishing to apply as AF are still required to fulfil the basic requirements of GA/IN/NG/IP respectively. Indications are provided in the AF column accordingly. For example for a GA applying as AF, it is essential that this GA complies with Article 5(b) of the Statutes, being one of the criteria for admission of a GA. Whereas, an NG/IN would have to comply with Article 5 (d/e) of the Statutes but not 5 (b).

⁸ "Outposted or country offices" means that the organisation must have a registered office (legal seat) in at least two countries. Outposted staff based in partner organisations in other countries cannot be considered as "outposted or country offices".

⁹ The Organisation's Statutes should state that their Board is open to nationals from other countries (if not, written confirmation is required). NB: If the current Board is composed of nationals from only one country, it does not necessarily imply that it is closed to other nationalities: check!!



94th Meeting of the IUCN Council, Gland (Switzerland), 29 April-2 May 2018

Agenda Item GCC13/2.4.1

13th Meeting of the Governance and Constituency Committee

Recognition of the IUCN National Committee of Belize

Origin: Director General

REQUIRED ACTION:

The Governance and Constituency Committee is invited to:

1. **CONSIDER** the requests for official recognition of the Belize National Committee which has submitted full application documents and fulfills the requirements of the IUCN Statutes and Regulations; and to
2. **MAKE A RECOMMENDATION** to Council for decision.

Background

The recognition of a National Committee is subject to Articles 66 and 67 of the IUCN Statutes and 61 to 68 of the IUCN Regulations.

Issues and Considerations

Currently, there are three active IUCN Members in Belize.

All active IUCN Members have provided written agreement to the establishment of the National Committee.

The National Committee of Belize was established in March 2018. Consequently, they have approved the Bylaws of the Committee, which defines the objectives and mission of the Committee.

The application form and all the necessary documents related to the application for official recognition by IUCN Council were completed and signed. The assessment form completed by the IUCN Secretariat, which confirms that all requirements are met is available as **Annex I**.

The Executive Committee of the National Committee is composed of:

- Chair: Amanda Acosta – Belize Audubon Society
- Vice-Chair: Jose Perez - Association of Protected Areas Management Organizations
- Secretary : n/a
- Treasurer: Nayari Diaz Perez - Protected Areas Conservation Trust

Assessment form for recognition of National/Regional Committees

1. NAME OF COMMITTEE: Belize National Committee of IUCN Members

Contact person:

Amanda Acosta

Phone: +501 223 4987

E-mail: executivedirector@belizeaudubon.org

Address: 16 Tawan Street, PO Box 1001, Belize City

<p>2. APPLICATION: Is it properly constituted? Is the Application signed by the authorized Executive Member?</p>	<p>YES YES</p>	
<p>Documentation received:</p> <ul style="list-style-type: none"> • Statutes/Bylaws and/or Constitution document and/or Rules of Procedures: • Statement of Financial Obligations and Liabilities: • License Agreement: • Letter from IUCN Members in the country/region • Others (if yes, specify): 	<p>YES YES YES YES</p>	
<p>STATUS OF NATIONAL/REGIONAL COMMITTEE: Date of establishment:</p> <ul style="list-style-type: none"> • Is it a legally registered entity? 	<p>March 2018</p> <p>NO</p>	
<p>4. STATUTES: Does the Committee satisfy the admission criteria?</p> <p>Does it:</p> <ul style="list-style-type: none"> • open its membership to all IUCN members in its State • comprise the majority of IUCN members in its State • endeavor to ensure the full participation of IUCN Members • submit to the Director General, IUCN Secretariat and IUCN Council, its Statutes/Bylaws (in the case of a legal entity) or Rules of Procedures and/or Constitutional documents (in the case of a non-legal entity) • notify all members in its State in writing of its intent to seek official recognition by IUCN Council and provide written evidence to the Secretariat to that effect • ensure that only voting Members of IUCN participate in decisions on matters of IUCN business • elect its own Chair and establish its own procedures • accept the right of any member to disassociate from any decision of the Committee and if requested, clearly indicate that disassociation • be self-governing and not impose financial obligations or liabilities upon IUCN, in accordance with Art. 71, para (a) and (b) of the IUCN Statutes • use the IUCN name and logo only in accordance with a License Agreement signed with the National Committee • be solely responsible for any funds it raises and any debts and legal obligations, incurred in accordance with the Statement regarding financial obligations and liabilities • determine the dates and venues of its meetings, informing its members and the Director General of these meetings in advance • promptly send an annual report on its activities to the Director General and the Council • co-operate with the IUCN Secretariat and the Commissions to advance the work of IUCN • if it adopts and pursues its own policies, ensure that these are consistent with the objectives and policies of IUCN • invite relevant key national bodies to participate as appropriate, where this 	<p>YES YES YES YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p>	

<ul style="list-style-type: none"> participation will further the work of the Committee issues statements (if it does) relevant to the objectives of IUCN, provide that such statements, or activities pursuant to them, shall be solely on behalf of the Committee and shall not commit IUCN to any financial, legal or other obligations, in accordance with the Statement regarding financial obligations and liabilities 	YES	
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5. EXECUTIVE COMMITTEE:	
Chair:	Amanda Acosta – Belize Audubon Society
Vice-Chair:	Jose Perez - Association of Protected Areas Management Organizations
Secretary:	n/a
Treasurer:	Nayari Diaz Perez - Protected Areas Conservation Trust
Executive Bureau Members:	n/a



Membership Committee

Model Constitution/By-Laws for National Committees of Members

[This document was adopted by the 29th Meeting of the Membership Committee
03 June 2003; modified on 4 June 2008: logo, name, font]

Title: **The IUCN National Committee of BELIZE**

Preamble

The National Committees of IUCN Members are a core component of IUCN to facilitate the cooperation among the Members, coordination of the national Members with the other components of IUCN, and participation of the national members in the programme and governance of IUCN. In order to enable the Members to participate in the preparation and evaluation of the IUCN Programme and strategies, and to prepare for each World Conservation Congress, the Members of BELIZE have decided to establish The IUCN National Committee of BELIZE, as authorized under Part VII of the Statutes of IUCN.

1. Establishment of The IUCN National Committee

1.1 A majority of the Members of BELIZE do hereby establish and constitute the IUCN National Committee of BELIZE as a nonprofit association of IUCN Members [duly incorporated in accordance with the laws of the country] as of **March 2018**.

2. Membership of The IUCN National Committee

2.1 All Members of IUCN in BELIZE shall be invited to become, and have the right to elect to be, a Member of the IUCN National Committee. The IUCN Director General shall advise the National Committee of the names and focal points for each IUCN Member within BELIZE, and the Director General's list of current IUCN Members shall comprise the only list of Members of the National Committee. The National Committee shall always have the active participation of a majority of the IUCN Members in BELIZE.

2.2 Government agencies or non-governmental organizations that are not Members of IUCN may be invited by the National Committee to attend its meetings but not with the right to vote or use the name or logo of IUCN which are rights reserved to IUCN Members.

2.3 The National Committee shall endeavor to ensure the full participation of all IUCN Members within the country.

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A handwritten signature in blue ink, appearing to be 'A. B. Costa'.

3. Procedures of The National Committee

3.1 Each Member of The National Committee shall have the right to a vote based on the agreed voting formula in which each member (in good standing) shall get one vote to cast.

3.2 The National Committee may adopt its own operational procedures consistent with this constitution. All elections and decisions taken by the members of The National Committee shall be taken [by a majority of all IUCN Members of The National Committee].

3.3 The National Committee shall be self-governing and autonomous, and shall not undertake or impose financial obligations or liabilities upon IUCN, which is not responsible for commitments entered into by The National Committee.

3.4 Where individuals, who have been elected as a Regional Councilor, and any other members of the IUCN Council, are resident in BELIZE, The National Committee shall invite them to participate in the meetings [without voting rights] and activities of The National Committee.

3.5 Where individuals who have been appointed as a member of a Commission are resident in BELIZE, The National Committee[may]invite them to participate in the meetings and activities of The National Committee, as appropriate to the expertise of the Commission [without] financial support.

3.6 The National Committee shall give advance notice of all its meetings to the Director General of IUCN, and the Secretariat's Regional and Country Offices, and the Director General and the IUCN Legal Advisor have the right to attend all meetings of The National Committee.

3.7 The work of The National Committee shall be conducted with transparency.

3.8 The National Committee may establish and operate through sub-national committees.

4. Officers

4.1 The National Committee shall elect an individual to serve as the Chair of The National Committee,[one]Deputy Chair(s), and a Secretary.

4.2 The Chair, or a Deputy Chair, shall preside over meetings of The National Committee, and have general responsibility for implementing the decisions of The National Committee.

4.3 The Chair shall be responsible for communications between The National Committee and the Director General of IUCN, or to the IUCN Secretariat official nominated by the Director General to be responsible for liaison with The National Committee, and shall convey the communications of the Director General of IUCN to The Members of the National Committee, as provided for in Section 68of the Regulations of IUCN.

4.4 The Secretary shall record written minutes of all the meetings of The National Committee, and shall transmit a copy of such minutes to all the IUCN Members in the country, and to the Director General of IUCN. The Secretary shall prepare and transmit an annual report of The National Committee to the Director General of IUCN in one of IUCN's official languages.

4.4The National Committee may establish and elect through an agreed process, an executive committee to manage its affairs in between meetings of The National Committee.



5. IUCN Programme within BELIZE.

5.1 The National Committee may adopt its own policies consistent with the policies and objectives of IUCN, and may exchange views on conservation within BELIZE and with IUCN Members in the Region or internationally.

5.2 The National Committee shall work with the IUCN Secretariat, Regional Committees where they exist and Commissions to formulate, coordinate and implement the Programme of IUCN within BELIZE. The National Committee may participate in the formulation of the IUCN Programme in Mexico, Central America and the Caribbean Region and agree to a written workplan with respect to the implementation of the Programme of IUCN within Mexico, Central America and the Caribbean Region.

5.3 The National Committee may assist its Members with respect to the realization of the rights and obligations of Members, as set forth in Article 12 of the Statutes of IUCN.

5.4 The National Committee, in accordance with IUCN's Guidelines, may use the name of IUCN and the logo of IUCN in conjunction with the name of the country and region where The National Committee is located (see Annex II).

5.5 Once recognized by the Council of IUCN as the only National Committee in the country, The National Committee may take positions, announce policies, and issue statements in the name of The National Committee on matters arising solely within BELIZE, provided that any IUCN Member in BELIZE has the right to disassociate itself from any decision of The National Committee, and, if requested, The National Committee shall clearly indicate that disassociation. Such policies, positions or statements shall be solely in the name of The National Committee and shall not commit IUCN to any financial, legal or policy obligation. The Chair of The National Committee shall communicate such positions and policies at once upon their adoption by The National Committee to the Director General of IUCN. Should the Director General find that such positions and policies maybe inconsistent with the objectives of IUCN, the Chair of The National Committee shall make all reasonable efforts to resolve such problems, and if the problems cannot be resolved with the Director General, the Chair may address the issue to the Council of IUCN.

6. Regional Fora of Members

6.1 The National Committee shall, in so far as possible, facilitate the participation of its Members in any Regional Committees or fora of IUCN Members for the IUCN Region in which BELIZE is located.

7. World Conservation Congress

7.1 The National Committee shall, in so far as possible, facilitate the participation of its Members in the World Conservation Congress.

8. National Committee Operations

8.1 Where The National Committee has been formally recognized by the IUCN Council, and where local laws permit, it may, within the framework of a written agreement between the National Committee and the Director General, establish its own operations in support of IUCN's Mission and Programme and may raise funds for such operations.

8.2 The National Committee shall be solely responsible for any funds it raises and any debts and legal obligations that it incurs.



8.3 The National Committee shall at all times operate consistently with the objectives of IUCN.

9. Amendments

9.1 This Constitution may be amended by an affirmative vote of two-thirds of the IUCN Members constituting the membership of The National Committee. Any IUCN Member in **BELIZE** may propose an amendment to this constitution, and the Chair of The National Committee shall circulate the proposal to all IUCN Members in **BELIZE** and to the Director General of IUCN. Three months after The Chair of The National Committee has circulated the proposed amendment, it may be voted upon by a ballot of all the Members of The National Committee. Where an amendment fundamentally changes The National Committee, the Chair shall also communicate the fact of the amendment to the President of IUCN and the Chair of the Council Committee on Membership and Constituency Development, for reconfirmation of the recognition by Council of The National Committee.

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94th Meeting of the IUCN Council, Gland (Switzerland), 29 April-2 May 2018

13th Meeting of the Governance and Constituency Committee

Agenda Item GCC13/2.4.2

Revised bylaws of the Paraguay National Committee and the Caribbean Regional Committee

Origin: Director General

REQUIRED ACTION:

The Governance and Constituency Committee is invited to:

1. TAKE NOTE of the revised Bylaws of the Paraguay National Committee of IUCN Members and of the Caribbean Regional Committee of IUCN Members;
2. INFORM Council accordingly and ask them to congratulate the Committees for its work.

Background

The Governance and Constituency Committee is requested to take note and inform Council of the revised Bylaws of the Paraguay National Committee of IUCN Members and of the Caribbean Regional Committee of IUCN Members. Council should be requested to congratulate the Committees for its work.

The Paraguay National Committee was established in March 2006 and was recognized by the IUCN Council in May 2006. The revised Bylaws are available as **Annex I** (in Spanish).

The Caribbean Regional Committee was established and recognized in 2010. The revised Bylaws are available as **Annex II** (in Spanish) and in English as **Annex III**.

The bylaws are under review by the Secretariat in order to confirm that they meet the IUCN Statutory requirements.

According to Regulation 67 (f), *Committees recognized by Council have or adopt their own constitution and by-laws.*

**REGLAMENTO DE FUNCIONAMIENTO DEL
COMITÉ PARAGUAYO DE LA UNIÓN MUNDIAL
PARA LA NATURALEZA (UICN)**

TÍTULO I

Capítulo Único

De la Constitución

Art. 1.- Se constituye el Comité Paraguayo de la UICN, en adelante el Comité, para colaborar en la consecución de la visión de un mundo justo que valora y conserva la naturaleza y la misión de influir, alentar y ayudar a las sociedades de todo el mundo a conservar la integridad y la diversidad de la naturaleza, y asegurar que cualquier utilización de los recursos naturales se haga de manera equitativa y ecológicamente sostenible, según los preceptos de la UICN. El Comité se regirá por el presente Reglamento de Funcionamiento.

TÍTULO II

Capítulo I

De los fines

Art. 2.- a) El fin principal del Comité es el de constituirse en una instancia de intercambio de información y de opinión, respecto de las actividades de la membresía del ámbito nacional y de las Comisiones de la UICN, a los efectos de coordinar aquellas actividades cuyos objetivos se encuadren en la misión.

b) Actuar como plataforma de encuentro y debate entre organismos gubernamentales y no gubernamentales, responsables o implicados en la conservación de la naturaleza en Paraguay facilitando la comunicación y la cooperación entre ellos.

c) establecer una estrecha relación entre sus miembros, comisiones y coordinar las mismas con las restantes oficinas dependientes de la UICN.

Capítulo II

De la conformación, de los derechos y de las obligaciones de los miembros del Comité

Art. 3.- Conforman el Comité, en calidad de miembros, aquellas personas jurídicas públicas o privadas del ámbito nacional, oficialmente reconocidas por la UICN como pertenecientes a la Membresía según las



categorías oficialmente reconocidas por los Estatutos y Reglamentos que rigen a la UICN.

Art. 4.- Son obligaciones de los miembros:

- a. Respetar la misión y los principios que guían a la UICN.
- b. asistir a las reuniones del Comité;
- c. cumplir y hacer cumplir el presente reglamento;
- d. informar al Comité al respecto de cualquier modificación en su condición, de membresía institucional;
- e. participar activamente en aquellas actividades que los miembros del Comité emprendan en conjunto, en el marco de las Áreas Prioritarias o Claves de la UICN.

Art. 5.- Son derechos de los miembros:

- a. Mantener su independencia en un marco de respeto y tolerancia;
- b. proponer temas en el orden del día de las reuniones del Comité;
- c. elegir y ser electos para ejercer como responsables de la coordinación de actividades del Comité;
- d. tener voz y voto en las cuestiones puestas a consideración del Comité; y,
- e. representar al Comité, en aquellas cuestiones que éste así lo haya decidido.
- f. Participar en eventos. Cuando el Comité Nacional reciba invitaciones para participar de eventos de carácter temático, tanto en el nivel nacional como internacional, para designar al representante se tendrán en cuenta los siguientes requisitos:

1) El candidato debe pertenecer o estar vinculado a una institución miembro del Comité Nacional

2) El candidato debe ser un profesional en el tema del evento, y su institución debe estar trabajando en proyectos vinculados al mismo tema.



3) Si existiere más de un candidato, se procederá a la votación para designar al participante.

4) Si entre las instituciones miembros de la UICN no se cuenta con el perfil adecuado, se cursará la invitación a otros profesionales que trabajan en el país.

TÍTULO III

Capítulo I

De las Reuniones del Comité



Art. 6.- El Comité se reunirá de forma ordinaria, al menos, trimestralmente, y de forma extraordinaria cuantas veces sean consideradas necesarias.

Art. 7.- Para la convocatoria a reuniones tanto ordinarias como extraordinarias, deberán utilizarse medios escritos, incluidos los formatos electrónicos.

Art. 8.- La convocatoria a reunión ordinaria deberá contener el Orden del Día propuesto, y el Acta de la Reunión anterior, y ser puesta a conocimiento de todos los miembros con un mínimo de cinco días hábiles de anticipación a la reunión.

Art. 9.- La convocatoria a reunión extraordinaria deberá contener el Orden del Día propuesto, y ser puesta a conocimiento de todos miembros, mínimamente con 24 horas de anticipación.

En todos los casos la convocatoria deberá contener la información requerida en los artículos 7, 8 y 9, la fecha, la hora y el lugar de la reunión.

Art. 10.- Las reuniones extraordinarias podrán ser convocadas, a pedido escrito y fundamentado, de la persona responsable de la coordinación de actividades del Comité, o de uno o más miembros del mismo, a través de la persona responsable de la coordinación.

Art. 11.- El quórum para la realización de las reuniones será el de $\frac{3}{4}$ - tres cuartas partes- de los miembros del Comité, o con cualquier número de presentes pasados 30 – treinta- minutos de la hora de citación.

Art. 12.- Las reuniones serán presididas por el responsable de la coordinación del comité y, en su ausencia, por un Miembro presente que será electo al inicio de la reunión.

Art. 13.- Los gastos decididos y aprobados en reunión que demanden las actividades del Comité serán prorrateados entre los miembros.

Art. 14. – Mecanismo de toma de decisiones: Las decisiones que se tomen al interior del comité serán regidas por el consenso de los miembros participantes en el momento de la toma de la respectiva decisión o en su defecto por la mitad más uno de los Miembros del Comité.

Capítulo II

De los responsables de la coordinación de actividades del Comité, de sus derechos y obligaciones

Art. 15.- El Comité contará con una institución responsable titular, y una suplente, de la coordinación de actividades del Comité. El ejercicio de dicha función será realizado Ad Honorem por los electos.



Art. 16.- La elección de la institución responsable de la coordinación de actividades del Comité, será realizada en la primera reunión posterior al vencimiento de su mandato entre los miembros del Comité.

Art. 17.- El responsable de la coordinación de actividades estará en funciones por el período de dos (2) años, siendo la designación de éste, de carácter rotativo entre la totalidad de las organizaciones miembros.

Art. 18.- Serán obligaciones de la institución responsable de la coordinación de actividades del Comité:

- a. Convocar a reuniones del Comité, en el tiempo y forma señalado en el presente reglamento, y llevar el registro de las convocatorias;
- b. recibir insumos diversos, documentaciones, y otros similares, que los miembros del Comité le acerquen, para su difusión y divulgación entre los mismos;
- c. actuar de secretario de actas de las reuniones del Comité, para lo cual habilitará y llevará un registro de actas, convalidado y firmado;
- d. elaborar el Directorio de Miembros del Comité;
- e. informar anualmente al Comité, al respecto del estado de los miembros ante la UICN;
- f. establecer comunicación con la sede central y las sedes regionales de la UICN. En el caso de ser pronunciamientos, estas comunicaciones serán acordadas por los miembros del Comité por el medio más ágil posible.
- g. re-transmitir de forma inmediata a todos los miembros del Comité, cualquier comunicación recibida de la sede central y/o de las oficinas regionales de la UICN;
- h. establecer y mantener activa la red electrónica de información entre los miembros;
- i. fomentar y favorecer un marco permanente y adecuado de comunicación y colaboración entre los miembros;
- j. las organizaciones miembros tienen la obligación de designar oficialmente a dos personas: una titular y una suplente, como sus representantes en el comité paraguayo de la UICN.

Art. 19.- Ningún miembro del Comité podrá arrogarse el nombre, la representación o las funciones del mismo a título personal. Corresponde sólo al Coordinador o a la persona por él debidamente delegada entre los miembros, ejercer las funciones de representante o portavoz del Comité.

Art. 20.- Las instituciones miembros serán libres de discrepar con respecto a cualquier posición común o declaración que adopte o formule el comité, y si así lo solicita el miembro interesado, se indicará dicha discrepancia en el momento que se publique esa declaración o se recomiende la adopción de las correspondientes medidas.

Art. 21.- La Coordinación tendrá las siguientes atribuciones y deberes:

- a. Empezar las tareas asignadas en el marco del Programa integrado de la UICN;

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- b. representar al Comité en sus relaciones con otras instancias;
- c. realizar la gestión administrativa, financiera, patrimonial y contable del Comité;
- d. cumplir y hacer cumplir este Reglamento de Funcionamiento;
- e. designar, en su caso, a la persona que estará a cargo de la Secretaría Operativa del Comité;
- f. refrendar acuerdos con entidades públicas o privadas de nivel nacional o internacional pertinentes para el cumplimiento de los objetivos del Comité Paraguayo de la UICN, previamente aprobados por los Miembros;
- g. gestionar convenios, subsidios y becas para proyectos en los cuales participen miembros;
- h. realizar, en general, todas las acciones que hagan al mejor cumplimiento de los objetivos del Comité;
- i. elaborar y presentar a los Miembros reunidos en Asamblea el informe institucional de actividades en una Memoria Anual del Comité Paraguayo de la UICN;
- j. elevar, si fuera requerida, la Memoria Anual del Comité Paraguayo ante los Congresos Regional y/o Mundial, y/o ante el Consejo de la UICN.
- k. Brindar un marco permanente y adecuado de la comunicación y colaboración entre los miembros, asignando responsabilidades, tareas y recursos según los casos, de la manera más amplia posible y en proporción a las capacidades que pueda aportar cada uno.

TÍTULO IV

Capítulo Único

De la disolución

Art. 23.- El Comité se constituye por tiempo indefinido. La disolución del mismo será analizada y resuelta en una Reunión Extraordinaria expresamente convocada para tal fin. Para la disolución del Comité se deberá contar con al menos $\frac{3}{4}$ -tres cuartos- del total de miembros del mismo.

TITULO V

Capítulo Único

Cláusula Transitoria

Art. 24.- El presente reglamento entrará en vigencia a partir del primero de diciembre de 2017.

The image shows three handwritten signatures and stamps. On the left, there is a large, stylized signature with the stamp 'ISAIA' below it. In the middle, there is a signature with the stamp 'Daniel Jacquet' below it. On the right, there is a signature with the stamp 'YANOSLEY AR. GONZA PARAGUAY' below it.

Estatutos del Comité Regional de los Miembros de la Unión Internacional para la Conservación de la Naturaleza (UICN) en el Caribe insular

enero 2018

Preámbulo

Considerando que,

los comités regionales y nacionales de los miembros de la UICN son componentes esenciales de la UICN al facilitar la cooperación entre la membresía y la coordinación con los programas y comisiones de la UICN;

Considerando que,

la participación de los miembros en sus programas regionales y nacionales y en la gobernanza de la UICN es esencial para el crecimiento y el desarrollo de los programas;

Considerando que,

los miembros están habilitados para participar en la preparación y evaluación de los programas y estrategias de la UICN, y para prepararse para participar activamente en cada Congreso Mundial de la Naturaleza;

los miembros de la UICN del Caribe insular establecieron un Comité Regional de Miembros de la UICN, según dispone la Sección VII de los Estatutos de la UICN.

El Comité Regional de Miembros de la UICN del Caribe, denominado en lo sucesivo Comité Regional - incluye a los miembros de la UICN pertenecientes al Caribe insular enumerados en el anexo de los Estatutos de la UICN [Antigua y Barbuda, Bahamas, Barbados, Cuba, Dominica, República Dominicana, Granada, Haití, Jamaica, San Cristóbal y Nieves, Santa Lucía, San Vicente y las Granadinas y Trinidad y Tobago], y como autoriza la Regla 70 de los Estatutos de la UICN (enmendados en el 2016), los territorios de ultramar geográficamente situados en el Caribe insular [Puerto Rico (USA), Islas Vírgenes, Guadalupe (Francia), Martinica (Francia), Curazao (Países Bajos), Aruba (Países Bajos), Islas Caimán (Reino Unido), Sint Maarten (Países Bajos), Saint Martin (Francia), Islas Turcas y Caicos (Reino Unido), Anguilla (Reino Unido), Saint Barthélemy (Francia), Montserrat (Reino Unido)].

Los miembros aceptan operar en el Comité Regional de conformidad con estos estatutos y la Guía Operativa Oficial de la UICN para los Comités Nacionales y Regionales de la UICN (aprobada por la 76ª reunión del Consejo de la UICN en mayo de 2011).

1. Deberes y funciones del Comité Regional

1.1 El Comité Regional deberá:

- a) Tener un gobierno propio y autónomo y no emprenderá ni impondrá cargas financieras u otras obligaciones a la UICN, que no es responsable de los compromisos adquiridos por el Comité Regional;

- b) Adoptar su propio estatuto;
- c) Adoptar y aplicar sus propias políticas, siempre y cuando se mantengan consistentes con las políticas y objetivos de la UICN;
- d) Elegir su propio comité ejecutivo y establecer sus propios procedimientos operativos;
- e) Informar a sus miembros y al Director General de la UICN con suficiente antelación de las fechas y lugar de celebración de sus reuniones;
- f) Emitir declaraciones pertinentes a los objetivos de la UICN, siempre que dichas declaraciones o acciones tomadas sean únicamente en nombre del Comité Regional y no comprometan a la UICN con ninguna obligación financiera, legal o política;
- g) Utilizar el nombre y el logotipo de la UICN como autorizado por el Consejo de la UICN;
- h) Enviar un informe anual de sus actividades a los miembros de la Dirección General y a los miembros del comité regional;
- i) Participar en la formulación del programa de la UICN para la región;

1.2 Las funciones del Comité Regional consisten en:

- a) Motivar a los miembros a mantener su membresía y fomentar que organizaciones adecuadas se incorporen a la UICN;
- b) Asumir posiciones en asuntos de interés y preocupación para los miembros de la UICN en el Caribe insular;
- c) Llevar a cabo actividades de promoción y sensibilización en nombre de miembros de la UICN del Caribe insular;
- d) Facilitar el desarrollo de actividades comunes, los procesos de sensibilización, educación y formación para fortalecer las habilidades y conocimientos de los miembros de la UICN;
- e) Fomentar acciones para la conservación y gestión sostenible de la naturaleza, y para el bienestar de las generaciones presentes y futuras en el Caribe insular;
- f) Facilitar y promover el debate, la comunicación y el intercambio de información entre los miembros sobre el medio ambiente a través de foros, redes u otros canales;
- g) Dar seguimiento de las decisiones adoptadas en el Congreso Mundial de la Naturaleza, aplicables al Caribe insular;
- h) Hacer los arreglos necesarios con la Secretaría de la UICN para la ejecución de las decisiones tomadas por el Comité Regional;
- i) Apoyar a los miembros y sus comités nacionales en el cumplimiento de los objetivos;
- j) Promover la comunicación y la cooperación entre los miembros y la buena gobernanza en las operaciones y programas de la UICN;
- k) Otorgar honores y premios correspondientes a los miembros o personas por un rendimiento excepcional en el Caribe insular;
- l) Elaborar y revisar propuestas de discusión en el Congreso Mundial de la Naturaleza de la UICN;
- m) Apoyar el programa regional y facilitar la labor de las comisiones de la UICN, mientras se promueve también la comunicación entre los miembros y comisiones en la región;
- n) Fortalecer los procesos de toma de decisiones y el debate en la agenda regional de desarrollo sostenible, así como desarrollar y defender posiciones comunes en temas de conservación y desarrollo sostenible en el Caribe a partir de los resultados y las lecciones aprendidas del programa de la UICN;

- o) Promover un consenso en el Comité, incluyendo el nombramiento de candidatos y las posiciones políticas del gobierno de la UICN;
- p) Representar a los miembros en los foros regionales e internacionales pertinentes;
- q) Llevar a cabo otras actividades decididas por el Comité.

2. Composición y Derechos del Comité Regional

- 2.1 Todos los miembros de la UICN en el Caribe insular que estén al día en sus obligaciones financieras serán elegibles para ser miembro del Comité Regional, incluidos los miembros de territorios de ultramar, siempre y cuando no formen parte de otro comité regional.
- 2.2 Cada miembro del Comité Regional tendrá derecho a voto de acuerdo con los Estatutos y Reglamentos de la UICN.
- 2.3 El Comité Regional podrá cooptar a personas adicionales, sin derecho a voto, para desempeñar funciones dentro del Comité, según sea necesario.
- 2.4 Los miembros de la UICN de organizaciones internacionales no gubernamentales con operaciones / oficinas en el Caribe insular pueden ser invitados a participar como observadores, con el fin de alcanzar el objetivo de "Programa Único de la UICN (llamado en inglés "One Programme") para la región.
- 2.5 Las organizaciones gubernamentales u organizaciones no gubernamentales que no sean miembros de la UICN podrán ser invitadas por el Comité Regional para asistir a sus reuniones, pero sin derecho a voto o uso del nombre o logotipo de la UICN, cuyo derecho está reservado exclusivamente para los miembros de la UICN.

3. El Comité Ejecutivo del Comité Regional estará compuesto por:

- a) Un presidente, uno o más vice-presidentes, un tesorero y un secretario, desempeñando como oficiales del Comité Regional.
- b) No más de seis individuos provenientes de organizaciones miembros de la UICN electos en su capacidad individual por el Comité Regional como miembros *ex officio* del Comité Ejecutivo;
- c) El consejero regional de la UICN sin derecho a voto; y
- d) Un representante de la Secretaría Regional de la UICN, sin derecho a voto.
- e) No más de dos miembros del Comité Regional pueden provenir de un mismo Estado o territorio de ultramar.

4. Funciones del Comité Ejecutivo

4.1 Las funciones y responsabilidades del presidente del Comité Ejecutivo consistirán en:

- a) Representar al Comité Regional y poner en práctica sus decisiones;
- b) Convocar y presidir sobre los asuntos del Comité Regional y firmar acuerdos a nombre del Comité;
- c) Aprobar las actas de las reuniones ordinarias y extraordinarias del Comité;
- d) Mantener contacto con los miembros, los comités nacionales, la secretaría regional, el consejero regional, las comisiones y la secretaría de la UICN;

- e) Actuar como mediador en la resolución de conflictos entre los miembros, cuando sea necesario;
- f) Difundir las comunicaciones oficiales en nombre del Comité y servir de enlace entre el comité y el director general de la UICN, o su candidato designado responsable de la coordinación con el Comité Regional;
- g) Asegurar la preparación y presentación de un informe anual sobre las actividades del Comité Ejecutivo y difundirlo a los miembros del Comité Regional, la Dirección General y el Consejo de la UICN;
- h) Establecer contactos con donantes potenciales y con la UICN para poner los fondos a disposición del Comité.

4.2 Las funciones y responsabilidades del vicepresidente serán las siguientes:

- a) Representar a la presidencia en su ausencia;
- b) Apoyar las funciones de la presidencia;
- c) Firmar y diseminar la correspondencia y otros documentos, según sea necesario.

4.3 Las funciones y responsabilidades de la secretaría serán las siguientes:

- a) Mantener registros de las actas y resoluciones de las sesiones ordinarias y extraordinarias del Comité y transmitir copia de estas a todos los miembros de la UICN en el Caribe insular y a la Dirección General de UICN de forma regular y puntualmente;
- b) Ser responsable del proceso de votación del Comité, incluyendo la supervisión del proceso de nominaciones, de acuerdo a los Estatutos y reglas de la UICN;
- c) Preparar y transmitir un informe anual del Comité Regional al Director General de la UICN, en al menos una de las lenguas oficiales de la UICN.

4.4 Las funciones y responsabilidades del tesorero serán las siguientes:

- a) Mantener el control y registros actualizados de los recibos de ingresos y gastos del Comité;
- b) Proporcionar los estados financieros y los informes al Comité, al Director General, al Consejo de la UICN y a los donantes del Comité, según sea necesario;
- c) Ser responsable de la correcta utilización de los fondos del Comité, de acuerdo con las decisiones del mismo.

4.5 Los miembros del Comité Ejecutivo no podrán asumir compromisos en nombre del Comité sin la debida autorización del mismo.

4.6 Renuncia - Cualquier oficial puede renunciar en cualquier momento mediante una notificación por escrito al Presidente del Comité. La renuncia tendrá efecto en el momento especificado o inmediatamente si no se especifica el tiempo. La aceptación de dicha renuncia no será necesaria para hacerla efectiva. Cualquier puesto vacante que se produzca en el comité ejecutivo, por cualquier motivo puede ser llenado por el voto afirmativo de la mayoría de los restantes oficiales presentes en una reunión. Cualquier oficial elegido para llenar una vacante cumplirá la función del cargo por el resto del mandato de su predecesor hasta su muerte, renuncia o remoción.

4.7 Remoción de un oficial del ejecutivo - A menos que se estipule lo contrario en estos Estatutos, cualquiera o todos los miembros del Comité Ejecutivo pueden ser removidos por un motivo justo, con el voto afirmativo de la mayoría de los miembros en una reunión de los miembros o a través de una votación por escrito.

5 Elecciones

5.1 Las elecciones bienales - El Comité Regional celebrará elecciones cada dos años para elegir puestos ejecutivos. Las elecciones se llevarán a cabo en una fecha de conveniencia según lo determinen los miembros y la votación se realizará en persona, por correo o por medios electrónicos.

5.2 Términos - Los miembros designados desempeñarán funciones durante un término de dos años, y la persona podrá servir un máximo de dos períodos consecutivos, sujeto a que sea renovado.

5.3 Votación - Cada miembro con derecho a voto tendrá derecho a un (1) voto en todos los asuntos presentados por los miembros del Comité.

a) **El voto por correo o por medios electrónicos.** Cualquier acción incluyendo, pero no limitado a, la elección de los oficiales del Comité Ejecutivo, la modificación de los Estatutos del Comité o la aprobación de un plan propuesto, la consolidación o disolución, en la que los miembros tienen derecho a voto, se someterá a votación en una reunión en persona, por mail (incluyendo correo electrónico, fax o de transmisión similar u otro sistema de votación electrónica) y un aviso por escrito de la acción propuesta se enviará a cada persona con derecho a votar sobre la acción como miembro del Comité. Dicho aviso deberá indicar por escrito: el nombre del miembro, la naturaleza de la acción propuesta que ha de ser sometida a votación: la dirección postal, dirección electrónica o número de fax al que la votación ha de ser devuelto o el sistema de voto electrónico a través del cual un voto debe ser procesado con el fin de registrar dicho voto. La fecha efectiva de votación, que será una fecha no menos de cinco (5) días y no más de cuarenta y cinco (45) días siguientes a la fecha en que dicho aviso es entregado o enviado por correo a los miembros. Salvo que los Estatutos lo dispongan de otra manera, la acción propuesta será la acción de los miembros sólo si la mayoría de los miembros que emitan votos indican un voto afirmativo a favor de la acción propuesta completando la papeleta recibida.

5.4 Gobierno de la mayoría - Los miembros del Comité deben recibir una papeleta u otro voto electrónico solicitado a la dirección postal, dirección electrónica, o número de fax o a través de cualquier sistema de votación electrónica comunicado en el aviso escrito en o antes de la fecha efectiva de la votación de por lo menos el cincuenta por ciento (50%) de los miembros del Comité con derecho a voto.

6. Reuniones - El Comité Ejecutivo procurará reunirse al menos una vez al año. Las reuniones extraordinarias podrán ser convocadas por el Presidente o un consorcio de tres miembros del Comité.

- 6.1 **Las reuniones por medios electrónicos** - Los miembros del Comité Ejecutivo pueden participar en una reunión de los miembros mediante conferencia telefónica, transmisión electrónica audible o equipo de comunicaciones similares, con el fin de que todas las personas que participan en la reunión puedan escucharse entre sí al mismo tiempo.
- 6.2 **Quorum** – El quórum se constituirá por cincuenta por ciento (50%) más uno (1) de los miembros del Comité Ejecutivo.
- 6.3 **Subcomités / Grupos de Trabajos** - El Comité Ejecutivo, a su discreción, podrá establecer Subcomités o Grupos de Trabajo sobre cuestiones específicas o para fines especiales.
- 6.4 **Las decisiones del Comité Ejecutivo** - Las decisiones del Comité se adoptarán por consenso. Si el consenso no puede ser alcanzado, la adopción será por mayoría simple de votos de los miembros presentes. El Presidente efectuará un voto de calidad en caso de empate. Un miembro puede delegar su voto a otro miembro presente, siempre y cuando proporcione una representación formal al Presidente del Comité Ejecutivo antes de la reunión.

7. Enmiendas

- 7.1 **Modificación** - Estos Estatutos podrán ser modificados por el voto afirmativo de dos tercios (2/3) de los miembros del Comité Regional.
- 7.2 **Propuesta de enmienda** - Cualquier miembro podrá proponer una enmienda a estos Estatutos, y el Presidente del Comité distribuirá la propuesta de enmienda a todos los miembros
- 7.3 **Tiempo para someter enmienda** - A los tres meses a partir de la fecha de distribución de la enmienda propuesta, esta puede ser sometida a votación, a través de un voto, por miembros del Comité Regional. Cuando una enmienda cambia fundamentalmente los Estatutos, el Presidente comunicará los hechos de la enmienda al Presidente de la UICN, a la Secretaría Regional y al Director General de la UICN.

8. Aprobación - Estos Estatutos entrarán en vigor a partir de la fecha de su aprobación por los miembros del Comité Regional.

By-Laws of the International Union for the Conservation of Nature (IUCN) Regional Committee of Members in the Insular Caribbean

As amended, January 2018

Preamble

Whereas,

Regional and national committees of IUCN Members are core components of IUCN facilitating cooperation among members and coordination with IUCN programmes and Commissions,

Whereas,

Participation of the members in their regional and national programmes and in the governance of IUCN is essential for programme growth and development,

Whereas,

Members are enabled to participate in the preparation and evaluation of IUCN programmes and strategies and to prepare to actively participate in each World Conservation Congress;

the IUCN Members of the insular Caribbean established an IUCN Regional Committee of Members, as authorised under Part VII of the Statutes of IUCN.

The Caribbean Regional Committee of IUCN Members, hereinafter the “Regional Committee”, comprises IUCN Members from the insular Caribbean region as listed in the Annex of the IUCN Statutes [Antigua and Barbuda, Bahamas, Barbados, Cuba, Dominica, Dominican Republic, Grenada, Haiti, Jamaica, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines and Trinidad and Tobago], and as authorised by Rule 70 of the IUCN Statutes (as amended in 2016), overseas territories geographically located in the insular Caribbean [Puerto Rico (US), Virgin Islands (US), Guadeloupe (France), Martinique (France), Curaçao (Netherlands), Aruba (Netherlands), Cayman Islands (UK), Sint Maarten (Netherlands), Saint Martin (France), Turks and Caicos Islands (UK), British Virgin Islands (UK), Caribbean Netherlands (Kingdom of the Netherlands), Anguilla (UK), Saint Barthélemy (France), Montserrat (UK)].

The members hereby agree to operate the Regional Committee in accordance with these By-Laws and the official IUCN Operational Guide for IUCN National and Regional Committees (approved by the 76th meeting of the IUCN Council, May 2011).

1. Duties and Functions of the Regional Committee

1.1. The Regional Committee shall:

- a) Be self-governing and autonomous and shall not undertake or impose financial obligations or liabilities upon IUCN, which is not responsible for commitments entered into by the Regional Committee;
- b) Adopt its own by-laws;
- c) Adopt and pursue its own policies as long as they remain consistent with the policies and objectives of IUCN;

- d) Elect its own executive committee and establish its own operating procedures;
- e) Inform its members and the Director General well in advance of the dates and venue of its meetings;
- f) Issue statements relevant to the objectives of IUCN, provided that such statements or actions taken shall be solely on behalf of the Regional Committee and shall not commit IUCN to any financial, legal or policy obligations;
- g) Use the name and logo of IUCN as authorised by the IUCN Council;
- h) Send an annual report on its activities to the Director General and to the Regional Committee members;
- i) Participate in the formulation of the IUCN programme for the region;

1.2. The functions of the Regional Committee are to:

- a) Encourage suitable organisations to become or remain members of IUCN;
- b) Take positions on issues of interest and concern to IUCN members in the insular Caribbean;
- c) Undertake advocacy and awareness-raising activities on behalf of IUCN members in the insular Caribbean;
- d) Facilitate the development of common activities, awareness processes, education and training to strengthen the skills and expertise of IUCN members;
- e) Encourage actions for the conservation and sustainable management of nature, and for the wellbeing of present and future generations in the insular Caribbean;
- f) Facilitate and promote discussion, communication and exchange of information on the environment through forums, networks or other channels, among the members;
- g) Follow up on the decisions reached at the World Conservation Congress and applicable to the insular Caribbean;
- h) Make necessary arrangements with the IUCN Secretariat for the implementation of decisions reached by the Regional Committee;
- i) Support the membership and their national committees in the accomplishment of objectives;
- j) Promote communication and cooperation among members and good governance in IUCN operations and programmes;
- k) Grant appropriate honours and awards to members or persons for outstanding performance in the insular Caribbean;
- l) Prepare and review motions for discussion at IUCN's World Conservation Congress;
- m) Support the regional programme and facilitate the work of IUCN Commissions, whilst also promoting communication between Commissions and members in the region;

- n) Strengthen the debate and decision-making processes on the regional agenda for sustainable development, and develop and advocate common positions on issues of conservation and sustainable development in the Caribbean based on IUCN programme outcomes and lessons learned;
- o) Build consensus within the Regional Committee including for the nomination of candidates and policy positions of IUCN governance;
- p) Represent members at relevant regional and international forums;
- q) Carry out other activities as decided by the Regional Committee.

2. Membership and Rights of the Regional Committee

- 2.1 All IUCN members in the insular Caribbean in good financial standing shall be eligible for membership on the Regional Committee including members from overseas territories as long as they are not part of another Regional Committee.
- 2.2 Each member of the Regional Committee shall have the right to a vote in accordance with IUCN Statutes and Regulations.
- 2.3 The Regional Committee may co-opt additional individuals without voting rights to fulfil functions within sub-committees or task forces created as needed.
- 2.4 IUCN Members from international non-governmental organisations with operations/offices in the insular Caribbean may be invited to participate as observers in order to achieve the IUCN's "One Programme" objectives for the region.
- 2.5 Government agencies or non-governmental organisations that are not members of IUCN may be invited by the Regional Committee to attend its meetings but without the right to vote or use of the name or logo of IUCN, which are rights reserved solely for IUCN Members.

3. The Executive Committee shall consist of:

- a) A Chair, one or more Deputy Chairs, a Treasurer and a Secretary serving as officers of the Regional Committee;
- b) No more than six individuals from IUCN member organisations elected in their individual capacity by the Regional Committee as *ex-officio* members of the Executive Committee;
- c) The IUCN Councillor for the region without voting rights; and
- d) One representative from the IUCN Regional Secretariat, without voting rights.
- e) No more than two Executive Committee members may come from the same state or overseas territory.

4. Functions of the Executive Committee:

4.1 The functions and responsibilities of the Chair of the Regional Committee shall be to:

- a) Represent the Regional Committee and implement its decisions;
- b) Convene and preside over the affairs of and sign agreements on behalf of the Regional Committee;
- c) Approve the minutes of ordinary and extraordinary meetings of the Regional Committee;
- d) Maintain contact with the members, national committees, the Regional Secretariat, the Regional Councillor, Commissions, and IUCN Secretariat;
- e) Act as mediator in the resolution of conflicts between members, where necessary;
- f) Disseminate official communications on behalf of the Regional Committee and serve as the liaison between the Regional Committee and the Director General of IUCN, or their designated nominee responsible for liaising with the Regional Committee;
- g) Ensure preparation and presentation of an annual report covering the activities of the Regional Committee and disseminate to Regional Committee members, the Director General and the IUCN Council;
- h) Establish contacts with potential donors and with IUCN to make funds available for the Regional Committee.

4.2 The functions and responsibilities of the Deputy Chair shall be to:

- a) Represent the Chair in his/her absence;
- b) Support the functions of the Chair;
- c) Sign and disseminate correspondence and other documents, as required.

4.3 The functions and responsibilities of the Secretary shall be to:

- a) Keep records of and co-sign minutes and resolutions of ordinary and extraordinary meetings of the Regional Committee and transmit copies of said minutes to all IUCN Members in the region and to the Director General of IUCN on a timely basis;
- b) Be responsible for the Regional Committee voting process including overseeing the nominations process in accordance with these By-Laws and IUCN Statutes and Regulations;
- c) Prepare and transmit the annual report of the Regional Committee to the Director General of IUCN in at least one of IUCN's official languages.

4.4 The functions and responsibilities of the Treasurer shall be to:

- a) Maintain control of and keep up-to-date records of the Regional Committee's income and expenditure receipts;
- b) Provide financial statements and reports to the Regional Committee, the Director General, the IUCN Council and to the Committee's donors, as required; and
- c) Be accountable for the proper use of the Regional Committee's funds as per decisions of the Regional Committee.

4.5 Members of the Executive Committee may not assume commitments on behalf of the Regional Committee without the appropriate authorisation by the Regional Committee.

4.6 Resignation - Any officer may resign at any time by giving written notice to the Chair of the Executive Committee. Such resignation shall take effect at the time specified therein or immediately if no time is specified. The acceptance of such resignation shall not be necessary to make it effective. Any unfilled position or vacancy occurring in the Executive Committee for any reason may be filled by the affirmative vote of a majority of the remaining officers present at a meeting. Any officer elected to fill a vacancy shall be elected for the unexpired term of his or her predecessor in office and until his or her death, resignation or removal.

4.7 Removal of an Executive Member - Unless otherwise restricted by these By-Laws, any or all members of the Executive Committee elected by the members may be removed with good cause by the affirmative vote of a majority of the members of the Regional Committee at a meeting of the members of the Regional Committee or by written ballot.

5 Elections

5.1 Biennial Elections - The Regional Committee shall hold elections every two years to elect executive positions. Elections shall be held on a date of convenience as may be determined by the members and voting shall be conducted in person, by mail or electronic means.

5.2 Terms - Appointed members to the Executive Committee shall serve two-year terms, and individuals may serve up to two consecutive terms, subject to renewed appointment. **Voting** - Each member entitled to vote shall be entitled to one (1) vote on all matters submitted by the Executive Committee.

- a) **Voting by Mail or Electronic Means.** Any action including but not limited to the election of officers, amendment of the Regional Committee's By-Laws or the approval of a proposed plan, consolidation or dissolution, upon which members are entitled to vote, shall be voted upon at a meeting in person, by mail (to include electronic mail, facsimile or similar transmission or other electronic voting system) and written notice of the proposed action shall be sent to each person entitled to vote on such action as a member of the Regional Committee. Said written notice shall state the name of the member, the nature of the proposed action which is to be voted upon, the mailing address, electronic address or facsimile number to which the ballot is to be returned or the electronic voting system through which a vote must be processed in order to register such vote. The effective voting date shall be a date no less than five (5) days and no more than forty-five (45) days following the date upon which said written notice is delivered or mailed to the members. Except as is otherwise provided by the By-Laws, the proposed action shall be the action of the members only if a majority of the members casting votes indicate an affirmative vote in favour of the proposed action by completing the received ballot.

5.3 Majority Rule. The Executive Committee must receive a ballot or other requested electronic vote at the mailing address, electronic address, or facsimile number or through such electronic voting system designated in the written notice upon or prior to the effective voting date from at

least fifty percent (50 %) of Regional Committee members entitled to vote.

6. Meetings - The Executive Committee shall endeavour to meet at least once a year. Extraordinary meetings may be called by the Chair or a consortium of three members of the Executive Committee.

6.1 Meetings by Electronic Means. Members of the Executive Committee may participate in a meeting by means of conference telephone, audible electronic transmission, or similar communications equipment by which all persons participating in the meeting can hear each other at the same time.

6.2 Quorum. Fifty per cent (50%) plus one of executive committee members shall constitute a quorum.

6.3 Subcommittees / Task Forces. The Executive Committee, at its discretion, may establish subcommittees/task forces on specific issues or for special purposes.

6.4 Decisions of the Executive Committee shall be adopted by consensus. If consensus cannot be reached, adoption shall be by majority vote of the members present. The Chair shall hold a casting vote in the event of a tied vote. A member can delegate her/his vote to another member of the Executive Committee present by providing a formal proxy to the Chair of the Executive Committee in advance of the meeting.

7. Amendments

7.1 These By-Laws may be amended by an affirmative vote of two-thirds of the Regional Committee members.

7.2 Any member may propose an amendment to the By-Laws, and the Chair of the Executive Committee shall circulate the proposed amendment to all the members and to the Director General of IUCN.

7.3 A vote of all the members of the Regional Committee shall be held three months from the date of circulation of the proposed amendment. Where an amendment fundamentally changes the By-Laws, the Chair shall also communicate the fact of the amendment to the President of IUCN, to the Regional Secretariat and to the IUCN Director General.

8. Adoption - These By-Laws shall enter into force from the date of their adoption by the members of the Regional Committee.



94th Meeting of the IUCN Council, Gland (Switzerland), 29 April - 2 May 2018

Governance and Constituency Committee (13th meeting)

Agenda Item GCC13/2.4.3

**3rd Progress report from
IUCN Global Group for National and Regional Committee Development ('GG')**

Origin: IUCN Global Group for National and Regional Committee Development

REQUIRED ACTION

The Governance and Constituency Committee is invited to note the 3rd progress report from the IUCN Global Group for National and Regional Committee Development.

Background

At the 2016 IUCN World Conservation Congress in Hawai'i, the IUCN Global Group for National and Regional Committee Development [Global Group] was established ([Resolution WCC-2016-Res-002](#)). The Global Group was officially recognised by IUCN Council in February 2017 ([IUCN Council Decision C/92/11](#)) and is comprised of National and/or Regional Committee representatives from each IUCN Region, a representative of the IUCN Union Development Group and member of IUCN Council.

The Global Group works to:

- a. foster cooperation, communication and collaboration;
- b. share knowledge, practice and experience;
- c. encourage and support the establishment and development of National and Regional Committees;
- d. strengthen this community of the IUCN family in order for it to better engage with IUCN Commissions, the Secretariat and the Members; and
- e. improve the communication of Member activity in the implementation of the IUCN Programme.

Progress made since last meeting of Council, November 2017

- The GG meets online every three months and has met on six occasions to date.
- The first task of the GG has been to produce an up to date directory of National and Regional Committee and National Focal Point contacts and an indication of their recent achievements. A final draft document has now been completed and is attached with this report. ¹
- At its sixth meeting on 27th March 2018, the GG discussed its second task, to organise its first biennial 'in person' meeting, the date and location of which is currently expected to align with the next meeting of the Convention on Biological Diversity (COP 14) at Sharm el Sheikh, Egypt, in November 2018. This is an ongoing action.

Also at its sixth meeting the GG discussed:

- *Resolution 002 monitoring* and it was reported that the latest update had been completed
- *IUCN Membership strategy* and it was reported that the survey is now closed and the results are being analysed

¹ Note from the Secretary to Council: the annex will be included as soon as it is available

- *Global Group presence on the IUCN website* and it was agreed to supply the Secretariat with some text for inclusion on the website. It was also suggested that for the 2018 Annual Report that the distribution map created for the Global Directory be included to help raise the profile of Regional and National Committees.

Regional updates including any IUCN 70th anniversary events can be found in the minutes of the meeting. Considerable activity was reported from the regions including several examples of collaboration between RC/NCs and the IUCN Commissions.

A question was asked about the circulation of the IUCN Budget communication to Members in December 2017 and whether there had been any issues as full circulation appears not to have been achieved in West Europe.

The date of next meeting will be arranged for June 2018

Chris Mahon, Chair of GG
Ann-Katrine Garn, Secretary of GG
26th March 2018

The following individuals are the representatives on the GG:

Region	Name
North America	Meg Beckel
Caribbean	Leida Buglass/Patricia Lamelas
Meso America	Ernesto Herrera
South America	Ana Di Pangraccio
West Europe	Chris Mahon (GG Chair)
East Europe, North and Central Asia	Nana Janashia
Eastern and Southern Africa	Harriet Davies-Mostert
West and Central Africa	Pricelia Tumenta
West Asia	Nizar Hani
South and East Asia	Ma Keping
Oceania	Katherine Zischka
<i>GG logistics</i>	Ann-Katrine Garn (GG Secretary)
<i>Ex officio</i>	Raj Kumar (membership focal point, S-E Asia)
<i>Ex officio</i>	Jenny Gruenberger (IUCN Council)
<i>Ex officio – IUCN Secretariat</i>	Enrique Lahmann, Sarah Over, Fleurange Gilmour

94th Meeting of the IUCN Council, Gland (Switzerland), 29 April - 2 May 2018

Governance and Constituency Committee (13th meeting)

Agenda Item GCC13/2.4.4

Paper on Interregional Committees

Origin: Director General

REQUIRED ACTION

The Governance and Constituency Committee is invited to discuss the information provided in the present paper and provide guidance for the establishment of the Interregional committees.

Purpose of this paper

During its meeting of 7 February 2018, the Governance and Constituency Committee (GCC) continued the discussion of the request for clarification of Council decision C/69/54 submitted by Councillors Hilde Eggermont and Jan Olov Westerberg. See [Council document C/93/GCC/2.7.1.1](#) dated 30 October 2017.

The GCC requested the Secretariat to present a paper providing different options for the process of establishing Interregional Committees and following which the GCC will consider any issues on which guidance or direction from Council is required.

Origin of the concept of “Interregional Committee”

The GCC may wish to note that, at present, there are no Interregional Committees.

At the proposal of the IUCN Council, the 2004 IUCN World Conservation Congress adopted a package of governance reforms including amendments to the Statutes about, among others, “regional governance roles and structures”.

It included the introduction of a new paragraph (b) in Article 67 of the Statutes as follows:

“The Council [...] (b) may recognize Interregional Committees for defined purposes and on such terms as it considers appropriate.”

In Congress document CGR/3/2004/23, the Council described the rationale for its proposal as follows:

“Given the rapidly changing geopolitical circumstances, the Task Force¹ and Council concluded that changing the legal definition of boundaries at this time would not provide a lasting solution. It appeared more practical to seek non-Statutory solutions to improved working relationships between and among regions by means of inter and intra regional committees and task forces, as currently practiced in the Mediterranean region.”

¹ This refers to the “Governance Task Force” of the Council 2004-08, the predecessor of what became the “Governance Committee” during the term 2008-12.

The minutes of the 60th Council meeting (March 2004) which approved the proposed amendments to Article 67 of the Statutes only state the following:

“Following requests for clarification from several Councillors, explanations were given of what the Governance Task Force intended by “Interregional” Committees (i.e. at least two Regional Committees working together, e.g. the two European Committees). Further, a reassurance was given that sub-regional and sub-national committees were already provided for in Article 67(c) of the Regulations.”

Council seemed therefore to have indicated that an Interregional Committee should cover a minimum of two statutory regions of IUCN.

Council criteria for the establishment of Interregional Committees (decision C/69/54)

In March 2008, at the proposal of its Governance Task Force, the Council approved criteria for the establishment of Interregional Committees as follows:

Council, on the recommendation of the Governance Task Force AGREED that, in order to give effect to Article 67 (b) of the Statute, any proposal to establish an Interregional Committee will need to demonstrate that:

1. The purpose and scope of the proposed Interregional Committee is clear and does not clash with any other IUCN organs;
2. The establishment of an Interregional Committee with this purpose is supported by more than 50% of the Membership in each of the regions concerned;
3. The proposed Statutes or By-laws or Rules of Procedure or other Constitutional documents are compatible with the requirements of IUCN's Statutes and Regulations.

And that if Council was minded to permit the establishment of such a Committee, it required that:

4. The Committee provides a written report every 2 years to the Director General and to Council on its work and achievements; and
5. Council reserves the right to modify or withdraw the mandate to the Committee if Council believes its continued existence does not serve the best interests of IUCN.

It appears from the minutes of the 69th Council meeting that Council explicitly amended the initial proposal which was referring to “50% of the members in the regions concerned” to make it clear that support by more than 50% of the Membership in each of the regions concerned was required to ensure wide support from members.

Further clarifications provided by the Secretariat and the Legal Adviser

The Secretariat, with the support of the Legal Adviser, advised in October 2017 the initiators of an “Interregional Committee for West Europe, East Europe, North and Central Asia” that the required 50% support from IUCN Members in each statutory region may be achieved by all possible means of communication or an electronic vote.

In practice, the initiators of an Interregional Committee have therefore the following options to establish the required support from IUCN Members:

1. Letter: send a letter / email to all Members in the regions concerned asking them whether they support the establishment of an Interregional Committee and to send their response to the initiators. Once the threshold of 50% (plus 1) has been reached, the committee may be established and becomes eligible for recognition by Council.
2. Electronic vote: Members are asked to vote on the question whether or not they agree to the establishment of an Interregional Committee. Based on Regulations 94 and 95, the general rule of Article 32 of the Statutes should apply whereby “abstentions shall not be counted as votes cast”.
3. Online survey: Members are asked to confirm through a online survey system whether they are in favour of the establishment of an Interregional Committee.
4. In person voting (e.g. at a regional meeting): Show of hands to show support for the establishment.
5. Signature list (similar to the letter option): Asking Members to sign up to support the option of establishing an Interregional Committee if they are in agreement. It could be a physical list at a meeting or online on the Union Portal.

By way of comparison with the establishment of other types of Committees, it has to be noted that no threshold is expressly foreseen in the Statutes and Regulations for the establishment of a Regional Committee. The only requirements is that all IUCN Members in the Region or part of the Region are entitled to participate in the establishment process on equal terms (Reg. 62). With regard to the establishment of a National Committee, the requirement is that in order to be recognized the Committee has to show that it comprises “the majority of Members in their State”. There is however no mention on how this can be achieved.

Conclusion

In view of the above and of the elements stated in the IUCN Statutes and Regulations, not only for Interregional Committees but also for National and Regional Committees, the Secretariat suggests that the establishment process for all types of Committees be reviewed and standardized globally.

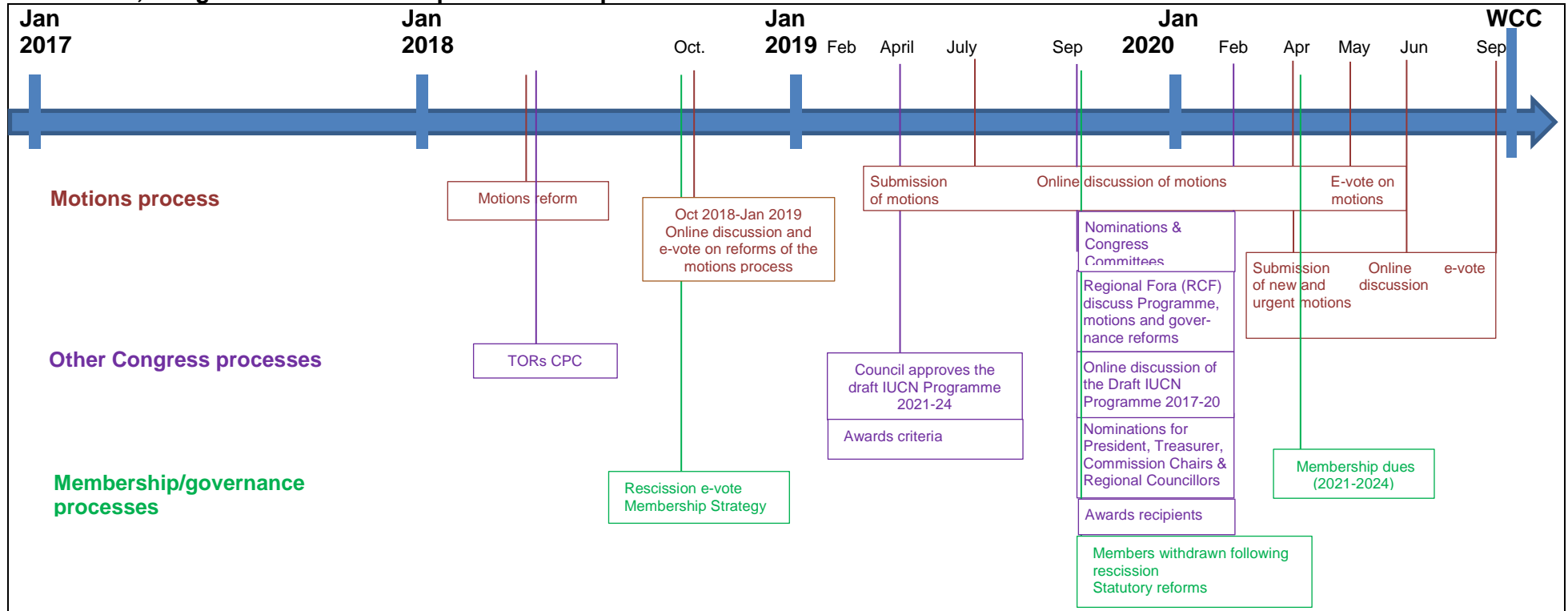
Governance and Constituency Committee proposed milestones (2017-2020)^{1a}

92 nd Meeting 8-9 Feb 2017	93 rd Meeting 19-21 Nov 2017	94 th Meeting 29 Apr - 2 May 2018 ¹	95 th Meeting 6-8 Oct 2018 ²	96 th Meeting Apr 2019	97 th Meeting Oct 2019	98 th Meeting mid-Apr 2020 (TBC)	99 th Meeting Sep 2020 (eve of WCC)
<ul style="list-style-type: none"> - <u>Indigenous peoples' organisations (IPOs)</u>: Adoption in 2nd reading of Changes to Regulations; approval of dues; approval of Members' transfers from category B to C - <u>Global Group for National/Regional Committees (NCRCs)</u>: Recognition of group and appointment of Council Representative - <u>BFF appeal</u>: submission to e-vote 	<ul style="list-style-type: none"> - <u>Rescission process</u>: approval of biennial voting process - <u>International NGOs</u>: approval of the seat definition and rights in NCRCs - <u>Dues 2021-2024</u>: approval of methodology - Potential of dues category for zoos, etc - <u>Rights of Commission</u> within NCRCs (first discussion) - Annual update³ implementation of the 2015 <u>evaluation of IUCN governance</u> - ToR for <u>external review of IUCN's governance</u> incl. Commissions⁴ 	<ul style="list-style-type: none"> - <u>Rights of Commissions</u> within NCRCs "<i>For decision</i>" - <u>Res003 Regional governmental authorities</u>: establishment of working group and TORs "<i>for approval</i>" - <u>Sponsored Members Programme</u>: 2016 outcomes & 2020 selection criteria & improvements "<i>for decision</i>" - <u>Dues reassessment process for NGOs</u> "<i>for information</i>" - <u>Rescission process</u>: 2016 <u>update & 2018 e-vote</u> "<i>for information</i>" - <u>2020 Congress date and place</u> "<i>For decision</i>" - <u>2020 Congress Preparatory Committee (CPC)</u>: TORs & process for nominations "<i>For decision</i>" - <u>Membership applications</u>: strengthened review/due diligence process "<i>for approval</i>" (if not finalised during call in February 18) - <u>Council Handbook</u>: <i>for decision</i> - <u>Motions process</u>: reform proposals <i>for approval</i> prior to C95⁵ - <u>Interregional Committees establishment</u> "<i>For information</i>" 	<ul style="list-style-type: none"> - <u>Membership Strategy</u> and value proposition endorsed "<i>for decision</i>" - <u>RCFs</u> preparations - Annual update³ on the <u>implementation of the 2015 evaluation of IUCN governance</u>⁴ - <u>Interregional Committee</u> for West Europe and East Europe, North and Central Asia "<i>for decision</i>" (<i>pending receipt of +50% interest</i>) 	<ul style="list-style-type: none"> - <u>Awards criteria</u> "<i>for approval</i>" - <u>Membership categories/criteria</u>: proposal for changes to Congress (depending on Membership Strategy) "<i>for approval</i>" - Profiles for <u>election candidates</u> "<i>for approval</i>" 	<ul style="list-style-type: none"> - (if any) Council proposals for reform of IUCN governance⁶ "<i>for approval</i>" - <u>Awards</u>: recipients selected "<i>for approval</i>" - <u>Rescission process</u>: update 2018 e-vote and 2020 Congress vote "<i>for info</i>" - <u>Nominations Committee, Governance Committee & Credentials Committee</u> TORs and start of nominations "<i>for approval</i>" - Annual update on the <u>implementation of the 2015 evaluation of IUCN governance</u> "<i>For Information</i>" 	<ul style="list-style-type: none"> - <u>Dues 2021-2024</u>: dues for submission to Congress incl. potential new dues category for zoos. "<i>for decision</i>" 	

Recurrent decisions/updates:

- Membership admissions (quarterly)
- Members category/name changes
- National/Regional Committees recognition
- Global Group for National/Regional Committees updates

Motions, Congress and Membership/Governance processes



Main Secretariat objectives:

- Membership Strategy: developed and implementation underway (in 2018) including recruitment of new Members¹.

¹ GCC/Council should provide its support in the recruitment of new Members including IPOs.

- National/Regional Committees: update **documentation to support establishment of Committees**, sharing of best practice between Committees and increase network via IUCN systems/events. **Reporting system** is put into place to encourage Committees to report on their activities at least once a year to enable the assessment of the level of activity/inactivity of each Committee. Support provided to the Global Group for National/Regional Committees.
- Membership application process: follow-up on automatization of **integration of the online application form with the CRM even though IUCN Information Services Group** advised not to pursue this option due to technological restrictions (by 2020). **Revised application form** published following the approval by GCC of the strengthened review/due diligence process for membership applications (in 2018).
- Membership dues: undertake reassessment process of **dues for NGOs** (in 2018-2019).
- Union Portal: work is underway led by the Secretariat, but involving the membership and Commissions, to **improve the overall access/usability, posting of important and relevant information and to exploit the tool to its full potential**. The technical feature to allow for **mapping** exists in the Portal, and efforts continue to **encourage users to input their expertise and that of their organizations** (ongoing).

1a: Some items of the workplan might be scheduled to earlier meetings depending on the 2020 Congress dates.

¹ For the 94th to the 98th Council meetings, indications are given of the periods in which to hold the Council. They remain indicative until they the precise dates of the meetings are confirmed. The Swiss Federal Government invites the Council to a 2-day excursion to the Canton of Obwald, either prior to, or following the end of the 94th Council meeting.

² (To be decided) Council meeting at the occasion of the 70th Anniversary of IUCN (5 October) hosted by the Government of Jeju (Republic of Korea) at the occasion of the 2018 World Leaders Conservation Forum.

³ In accordance with the Strategic Planning and Reporting Framework (approved by C/88/7, April 2016, Annex 2 of Council Handbook), the Planning, Monitoring and Evaluation Unit will present an update on all evaluations for information of the Council. The external evaluation of IUCN's governance is one of them and so, each year the GCC will be invited to note the update on the implementation of the "Management Response" (which was approved by Council) of the 2015 external evaluation of IUCN's governance.

⁴ Council decision C/88/7, April 2016 (Annex 2, C4. And A4.7), Council Handbook §8 b. iii.

⁵ Taking into account feedback / lessons learnt from the 2016 motions process and Congress, incl. any amendments to the Rules of Procedure to be submitted to an electronic vote of the IUCN membership by February - March 2019. This may contain, but not be limited to the proposal to provide a deadline for new and urgent motions (Rule 52) in advance of the Congress as shown in the timeline for the motions process at the top of the present document.

⁶ For consultation online and during the Regional Conservation Fora, including amendments to Statutes / Rules. If RCFs start earlier, this item should be approved at C96.



94th Meeting of the IUCN Council, Gland (Switzerland), 29 April - 2 May 2018

Governance and Constituency Committee (13th meeting)

Agenda Item GCC13/3.1

Dates and location of the IUCN World Conservation Congress 2020

Origin: [Director General]

REQUIRED ACTION

The Governance and Constituency Committee is invited to review the evaluation report and to recommend a draft decision to Council for approval.

DRAFT COUNCIL DECISION

The IUCN Council, on the recommendation of its Governance and Constituency Committee, *recognizing* that a thorough selection process has been carried out and *taking into account* the proposal, the evaluation report, the draft Host Country Agreement, the recommendations from the candidate country and all other relevant facts, **decides** to [ACCEPT/REJECT] the offer from the Government of France to host the IUCN Congress 2020 in Marseille between [DD MONTH] 2020.

Background

1. Article 23 of the [IUCN Statutes](#) indicates that “The Council shall, after considering suggestions of Members, determine the date and venue of each ordinary and extraordinary session of the World Congress. [...]”.
2. In March 2017 the Director General extended an invitation to all IUCN’s State and Government Agency Members to consider hosting the IUCN World Conservation Congress 2020. The invitation included a “Statement of Requirements for the IUCN World Conservation Congress 2020” which was based on the selection criteria and procedure approved by Council at its 81st meeting (Council decision C/81/10 Annex 6) and the experience gained in Hawai’i (and previous Congresses).
3. Ten expressions of interest were received by 18 April 2017 (Australia, Azerbaijan, Canada, China, Ecuador, Ethiopia, France, South Africa, United Arab Emirates, United Kingdom/Northern Ireland). The submission deadline was extended from 15 August to 25 September 2017 (notification sent to all candidates on 28 June 2017). Out of these ten interested candidates, two submitted a proposal by the established deadline – France and the United Arab Emirates. The United Arab Emirates withdrew its proposal on 26 September 2017.
4. The assessment of the proposal and site inspection was carried out by an experienced Secretariat evaluation team as per the procedures approved by Council.
5. In November 2017, Council, on the recommendation of the Governance and Constituency Committee, acknowledged with thanks the proposal by the government of France to welcome the IUCN World Conservation Congress 2020 in Marseille and agreed to take a decision at its next meeting in April 2018 taking into account the outcome of the technical and risk analysis of the proposal, the site inspection and the negotiations of the draft Hosting Agreement.

6. In January 2018, the evaluation team, appointed by the Global Director, Union Development Group, visited Marseille to inspect the venue, hotels, as well as transportation facilities, and to meet with elected officials, relevant authorities, IUCN Members and representatives of civil society. The team was hosted by the “Ministry of Ecological and Solidary Transition” with presence by the Secretary of State Brune Poirson. The team was welcomed by the Mayor of Marseille Jean-Claude Gaudin and by the Regional Councillor of the Region Bouches-du-Rhône and Vice-President of the Council of the Department Provence-Alpes-Côte d’Azur Bruno Genzana.
7. Based on the content of the proposal, the Congress Unit, Union Development Group, and the Office of the Legal Advisor prepared a Draft Hosting Agreement which has been negotiated with France between December 2017 and mid-April 2018.
8. A risk assessment on aspects ranging from security, political, environmental, economic to health has been carried out by the evaluation team with the guidance of the Head of the Oversight Unit and the assessment as well as mitigation measures has been discussed with the candidate country.
9. Based on the proposal, the site-visit, the content of the Draft Host Country Agreement, and the risk assessment, the evaluation team prepared an evaluation report for Council (Annex 1).
10. It is standard practice that, in order to protect the integrity of Council’s decision process, all documentation attached to this note will exclusively be distributed to the members of the IUCN Council and will remain confidential until Council decides otherwise.

Issues and Considerations

11. According to Article 21 of the IUCN Statutes “The World Congress shall convene in Switzerland or in another State that agrees to host a session of the World Congress provided that:
 - a) all persons entitled to attend the World Congress shall be admitted to that State without discrimination;
 - b) all participants in the World Congress shall have the right of free expression in sessions of the World Congress and associated meetings;
 - c) every effort shall be made to facilitate entry and return of material and equipment necessary for the World Congress; and
 - d) all other provisions necessary for the functioning of the World Congress shall be provided in accordance with the terms of a written understanding between IUCN and the host State.”
12. Article 22 of the IUCN Statutes indicates that “The venue shall be selected with a view toward holding the sessions of the World Congress in as wide a variety of Regions as possible”.

2016 Honolulu, USA	1988 San Jose, Costa Rica	1963 Nairobi, Kenya
2012 Jeju, Republic of Korea	1984 Madrid, Spain	1960 Warsaw, Poland
2008 Barcelona, Spain	1981 Christchurch, N Zealand	1956 Edinburgh, UK
2004 Bangkok, Thailand	1978 Ashkhabad, USSR	1954 Copenhagen, Denmark
2000 Amman, Jordan	1975 Kinshasa, DRC	1952 Caracas, Venezuela
1996 Montreal, Canada	1972 Banff, Canada	1950 Brussels, Belgium
1994 Buenos Aires, Argentina	1969 New Delhi, India	1948 Fontainebleau, France
1990 Perth, Australia	1966 Lucerne, Switzerland	

13. In addition to the statutory articles mentioned above, Council should decide the venue and dates for the World Conservation Congress 2020 by evaluating the Secretariat evaluation report

against the selection criteria established in the Statement of Requirements. The evaluation report is based on the following information:

- (i) Content of the Draft Host Country Agreement
- (ii) Proposal and additional documents, including guarantee letters that were received
- (iii) Result of the site inspection visits
- (iv) A detailed risk assessment including reference checks with organizers of previous events

14. For the Congress dates, the candidate country is offering two options: 11 to 19 June 2020 or 1 to 9 September 2020. France however highly recommends that the Congress be held in June 2020 to maximize engagement of all stakeholders ahead of the CBD COP15, especially Heads of States, thus increasing visibility of the Congress. The pros and cons for both dates are included in Annex 2 for GCC's consideration.
15. Council members are reminded of Article 60 of the IUCN Statutes: 'The members of the Council shall disclose to the Council any potential conflict of interest on matters under consideration by the Council and refrain from participating in the discussion and voting on these matters.'¹

Follow Up

16. According to Article 23 of the IUCN Statutes "[...] The decision of Council shall be communicated to the Members of IUCN by the Director General, with a provisional agenda, at least nine months in advance of each session." In practice, the decision is published on the IUCN website, and communicated to all IUCN Members, immediately after the Council meeting at which the decision is taken.
17. Decision to be communicated to the Host Country.
18. Hosting agreement to be signed by selected Host Country and IUCN during the month of May 2018.
19. The Congress Preparatory Committee is established at the latest one year before Congress. See the process and TOR proposed under Agenda Item 3.4 of the GCC.
20. The Director General sets in place an adequate Congress Unit structure.

¹ According to the [Code of Conduct for IUCN Councillors](#) (Council Handbook), a "Conflict of Interest" means a situation in which a Council member holds or assumes a role or engages in a relationship with a third party, in a context other than that member's role in and responsibilities to IUCN, which impairs or reduces, or appears to impair or reduce, that member's capacity to act in the best interest of IUCN.



94th Meeting of the IUCN Council, Gland (Switzerland), 29 April – 2 May 2018

13th Meeting of the Governance and Constituency Committee

Agenda Item GCC13/3.3

Update of the motions process

DOCUMENT FOR DISCUSSION, POSSIBLY REVISION, DURING THE MEETING OF THE GCC
TASK FORCE TO UPDATE THE MOTIONS PROCESS ON 29 APRIL 2018 BEFORE
PRESENTATION TO THE GCC

Origin: GCC Task Force to update the motions process

REQUIRED ACTION

The Governance and Constituency Committee of the Council is invited to note the progress presented by the GCC's Task Force to update the motions process, and to provide any guidance to the task force as required.

1. The task force established by the GCC at its meeting in November 2017 has the following membership: Tamar Pataridze (chair), Jennifer Mohamed-Katerere, Hilde Eggermont and Masahiko Horie, and receives Secretariat support from Max Mueller and Luc De Wever.
2. The task force has met remotely on 1 February 2018 and 11 April 2018.
3. Following the GCC Chair's call to Council members for additional members of the task force, the following Council members joined the task force during its 2nd meeting of 11 April 2018: Michael Hosek, Jon Paul Rodriguez, Mangal Man Shakya and Jan Olov Westerberg.
4. On 11 April 2018, the task force discussed the following two documents prepared by the Secretariat:
 - Timeline for the 2020 motions process (Annex 1) which – pending Council's decision on the date of the 2020 Congress - includes two optional timelines, for a Congress to be held in June 2020 and in September 2020. The cover note explains what the major changes are compared with 2016 (independently from the actual date of the 2020 Congress) and also presents some considerations for and against, with the purpose of initiating discussion in the task force.
 - List of proposals to improve the motions process (Annex 2) made by Members/participants, the 2016 Resolutions Committee, the Oryx article and Masahiko Horie. Green colour indicates the technical improvements that can be made without requiring amendments to statutory documents; the yellow colour the proposals that, if accepted, will require amendments to the Statutes, the Rules of Procedure of the Congress, and/or the Regulations.
5. The task force will convene again in Gland on Sunday 29 April 2018 at 15:30 to continue its consideration of these documents, as well as a proposal for the amendments

required to implement the changes highlighted in yellow color (Annex 2), currently under preparation with the Secretariat.

6. The task force is expected to report to the GCC about progress of its work, which will continue over the coming months, with a view to presenting a concrete proposal of amendments to the Statutes, Rules of Procedure and /or Regulations for the GCC's consideration / approval before, or at the latest, during the 95th Council meeting (6-8 October 2018).

7. Council's proposals should be presented in time for approval by electronic vote of IUCN Members by the end of March 2019 enabling the launch of the motions process in due time.

GCC's Task Force on improving the motions process

Timeline for the 2020 motions process**Changes compared to the 2016 motions process**

The proposed timeline for the 2020 motions process responds to proposals made by IUCN Members, the Resolutions Committee and the IUCN Secretariat based on the experience of the 2016 motions process. The table below outlines the most significant changes compared to 2016.

In addition, as requested by GCC's task force, the timeline proposes two options: for a Congress to be held in June 2020 and in September 2020, in both cases working backwards from the 1st calendar day of the month in which the Congress is held.

No matter whether the Congress is held in June or September 2020, the two key changes of both optional timelines compared to 2016 are as follows:

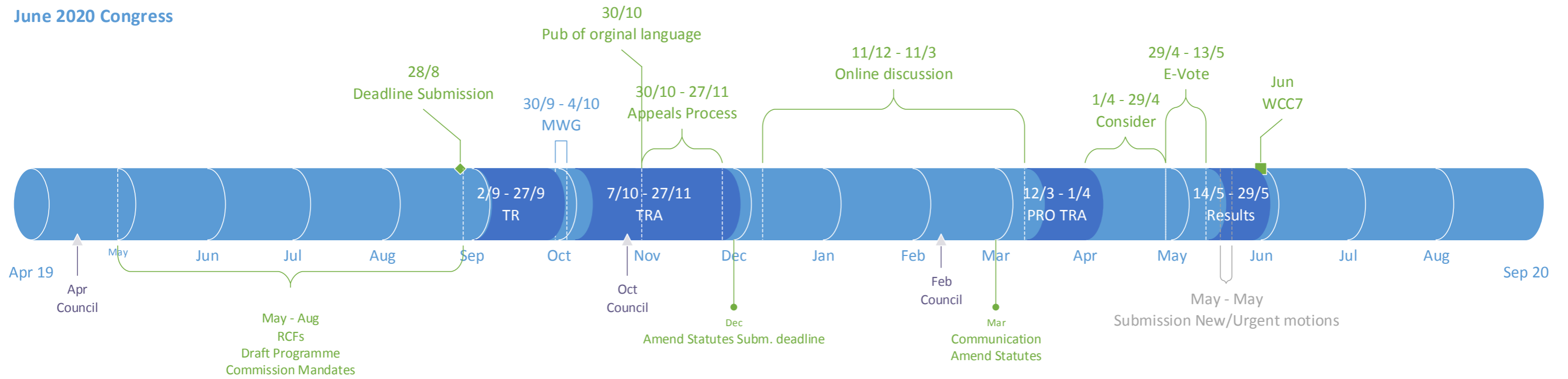
- a. More time is provided for the various steps of the motions process;
- b. The motions process also begins much earlier in order to make the best possible use of the Regional Conservation Forums to advance the development of motions with the highest possible quality and chances of being implemented.

In addition, in order to respond to requests by Members, the proposed optional timelines avoid e-vote during vacation and holiday periods, or deadlines falling on holidays or weekends. As a result, the timeline for a Congress in June is not simply the advancement by 3 months of the timeline for a Congress held in September.

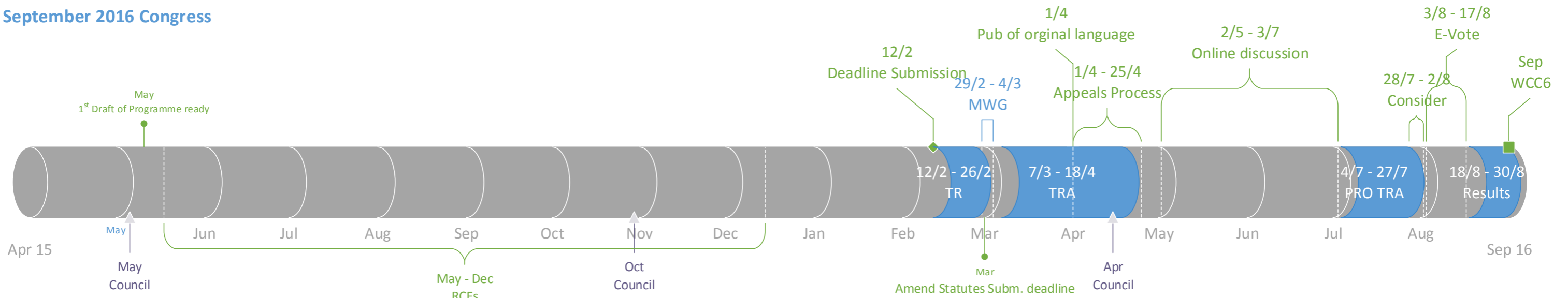
Phase	Change in timing (compared to 2016) + rationale
Technical review	4 weeks instead of 2 weeks To allow for a more detailed technical review to be carried out, in order to ensure scientific quality and accuracy.
Appeals process	4 weeks instead of 3.5 weeks The gap between this phase and the online discussion has also been increased in order to ensure the publication of any reinstated motions several days before the online discussion starts
Online discussion	13 weeks instead of 9 weeks <ul style="list-style-type: none"> - one additional week for each reading - two weeks for "consolidation phase" (cleaning up of final remaining issues + possibility for amendments)
New phase between translation/publication of the motions resulting from the online discussion, and e-vote	4 weeks instead of 4 days For Members to have enough time to consult their position internally and to make an explanation of vote before the vote This time can also allow the MWG + Secretariat to prepare the motions going to Congress more carefully in line with some of the proposals to facilitate reaching consensus.
Internal processing and translation of motions	A few additional days were added to the various internal processing phases (e.g. translation before and after the online discussion)
New and urgent motions (requires change in Rules of Procedures)	Deadline for new and urgent motions set one week before the Congress

PRO	CONTRA
1. Assist / train Members with developing motions, ensuring all requirements of Rule 54 are met.	1. This might implicitly encourage Members to increasingly propose motions with a regional focus.
2. Allows Members to identify topics for developing motions v. topics for discussion in the context of the development of the next Programme of which a first draft will be available before the 1 st RCF is held.	2. The submission of motions 9 months prior to WCC (11 months if WCC is held in Sep 2020) may generate more motions submitted onsite. To resolve this problem, a specific process can be designed for new and urgent motions with a deadline for submission before WCC and more stringent conditions to be defined (amendments to the Rules).
3. Allows for flagging of possibly controversial motions which Members intend to submit and can help the MWG to put in place the most appropriate process.	3. This might create the assumption by Members that the motions they intend to submit, or have discussed at an RCF, will be admitted by the MWG independent of them meeting the admissibility criteria.
4. Allows to identify and find alternative solutions to issues that would otherwise come with motions with a local/regional focus (role for the RCF in the motions process defined in Regulation 66ter approved in 2015)	4. This might create the assumption by Members that the motions they are intending to submit, or have discussed at an RCF, will be admitted by the MWG independent of them meeting the admissibility criteria.
5. Allows Members to recruit sponsors at the RCFs, as well as the Member contributions and resources required to implement the motion as/when approved – in view of enhancing Members' accountability for implementation and/or funding of the motions they propose	
6. Allows for discussion of a small number of motions that might have already been included as a draft in the motions submission portal.	

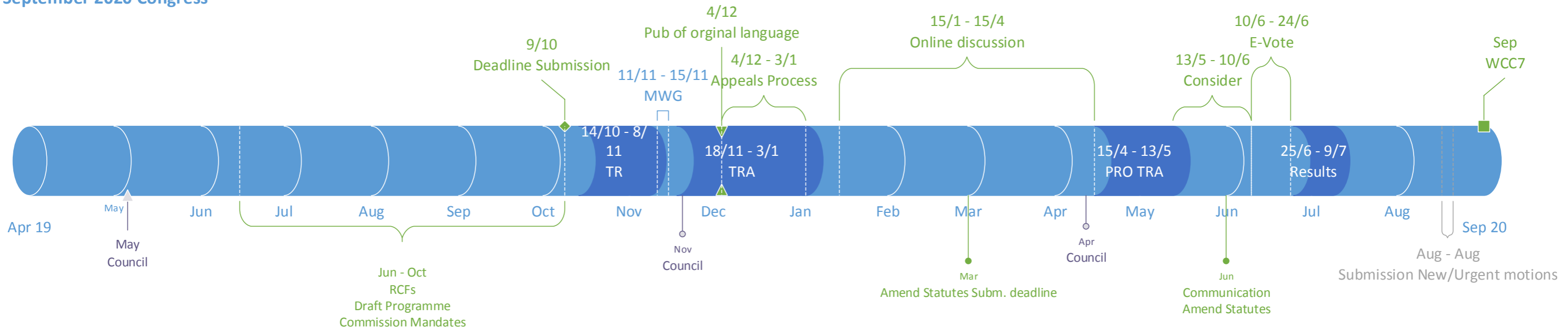
June 2020 Congress



September 2016 Congress



September 2020 Congress



Requires discussion of pro/contra in TF	Proposed changes: yellow = requires decision to amend the rules; green = technical improvement	Problem to be addressed / additional background information	Source	Changes to Statutes / RoP / Regs required?	Responsible to consider the proposal.	Where would the change be incorporated.	Comments by GCC Task Force members
	Stage 1 – Submission of motions						
	Provide more detailed information in guidance notes for Members concerning the information required and word limits for submission		Mem / RC	No	Secretariat	Guidance notes	
	Further improve the IT system for submission of motions		Mem	No	Secretariat	Online system	
yes	Strengthen submission criteria relating to sponsors to make motions more globally/regionally relevant		Mem	RoP 49 and/or 54	GCC TF / Council / Membership by e-vote	RoP + Template	
yes	Strengthen submission criteria relating to technical and scientific quality and concerning unclear intentions (power to MWG to reject or edit such motions)	The existing criteria did not give the MWG the possibility to reject / edit a motion that was of poor technical or scientific quality leading to some motions being admitted that were vague and which did not reflect the quality desired in IUCN.	RC	Amend ToR of the MWG and / or Reg 29 and / or RoP 54	GCC TF / Council / Membership by e-vote	Timeline + RoP + Template	
yes	Strengthen submission criteria to tighten requirements on consultation with local stakeholders which should include Members and Commissions; or that motions be discussed in National Committees before being submitted; or when a motion is about an entity outside IUCN, evidence is provided that they were consulted		RC	RoP 54	GCC TF / Council / Membership by e-vote	RoP + template	
	Implement a mechanism by which sponsors can send an early notice regarding controversial motions they intend to submit thus allowing time for processes to be put in place such as independent situation analyses		Oryx	No	Secretariat	Guidance notes + online system	
yes	Empower MWG / Resolutions Committee to refer some potentially very divisive but non-urgent motions to a two-step process	Avoid adversarial way of taking decisions as was the case with Motion 007 (+ underlying assumption: value of IUCN Resolutions and Recommendations is that they present a common, considered, negotiated view of the global conservation community. Motions passed by simple majorities against strong opposition, although legally valid, in practice lack legitimacy and authority, especially with dissenting parties)	Oryx	Amend ToR of the MWG and / or Reg 29 and / or RoP 54 and / or RoP 62bis	GCC TF / Council / Membership by e-vote	ToR MWG/RC (or possibly RoP)	
yes	Use Regional Conservation Forums (RCF) better to prepare, develop and promote motions	RCF were underutilized regarding motions (cf. RoP 51bis and 66ter approved in 2015), although this could have positive implications on motions.	RC	No	Secretariat	Timeline + Agenda RCFs + Guidance notes	PARTLY DONE (timeline makes RCF coincide with online submission of motions)
yes	Discuss Regional motions only at RCF	Does it mean to discuss and approve motions about regional issues? In that case, RoP 54 and/or 51bis would have to be amended	Mem	RoP 54 and / or 51bis	GCC TF / Council / Membership by e-vote	RoP	
	Stage 2 - Technical Review by MWG						
	Allow more time for technical review (e.g. 6 weeks)		RC	No	Secretariat	Timeline	DONE (timeline provides 4 weeks for technical review)
	Stage 3 - Online Discussion						

	Ensure that all deadlines of the different phases of the online discussions are set and communicated in advance, and respected across all motions (no exceptions; avoid that deadlines are on weekends)		Mem	No	Secretariat + MWG	Guidance notes	
no	Consider including overall structure of online discussion into Rules of Procedures in order to clarify it for all and thereby strengthen the authority of the facilitator		RC	RoP 62bis	GCC TF / Council / Membership by e-vote	RoP + timeline	PARTLY DONE (timeline provides 3 months for online discussion instead of 2 months in 2016)
	Consider period at the end of online discussion for amendments and explanations of vote before the e-vote		Mem / RC	No	Secretariat (+ GCC TF if decision to include phases in RoP)	Timeline	DONE
	Consider ways of avoiding comments to arrive predominantly at the last minute		Mem	No	Secretariat	Guidance notes	
	Facilitator to indicate "difficult motions" or issues of quality to MWG during the online discussion so that MWG can act		RC	No	Secretariat	Guidance notes	
yes	Give authority to MWG to tackle issues around quality after the close of the online discussion (overall)	To avoid motions of low quality to be adopted.	RC	Amend ToR of the MWG and / or Reg 29 and / or RoP 62quinto	GCC TF / Council / Membership by e-vote	Guidance notes – RoP	
no	Possibility to continue advancing work on more difficult or low quality motions (going to the Congress) after the close of the online discussion (longer e-discussion or informal consultations carried out by facilitator with main opponents)		RC / Oryx	No	MWG + Secretariat	TOR MWG – Timeline	PARTLY DONE (timeline provides 3 months between end of online discussion and WCC instead of 2 months)
no	Allow for more language translations in the online discussion		Mem	No	Secretariat subject to availability of funds	Guidance notes	
yes	Rules to improve participation in online discussion should be thought through (suggestion to make participation mandatory for Cat A Members, consider way of Commission Member participation)		Mem	RoP 62bis	GCC TF	Depending on the extent - Guidance note or RoP	
Stage 4 - E-vote							
	More time between end of online discussion (publication of revised motions) and beginning of e-vote for consultations within Member organizations and internal consultations (Governments)		Mem	No	SEC	Timeline	PARTLY DONE (timeline provides 7 weeks instead of 4 weeks)
yes	Strengthen criteria on which motions go to Congress and which ones to e-vote		Mem	RoP 62quinto	GCC TF	RoP	
	Adjust the timing of the e-vote - avoid holiday periods		Mem	No	SEC	Timeline	DONE
possibly	Streamline voting on amendments	Technically it worked. Would need to find out what precisely the issues were that Members brought to our attention in order to assess whether it was merely a weak understanding of the process or whether there were technical issues to be addressed	Mem	Possibly 62sexto	SEC	Guidance notes - possibly RoP	
possibly	Consider the counting of votes for e-vote, addressing the large amount of abstentions		Mem	possibly	GCC TF	RoP	
yes	Allow MWG to drop motions after electronic discussion which do not have global implications nor well aligned with IUCN Programme	Making Resolutions/Recommendations more relevant	M. Horie	RoP 54	GCC TF	RoP	
Stage 5 - New and urgent motions (RoP 52)							

yes	Earlier submission deadline for those motions	Current late deadline often prevents Members from being well prepared to debate these issues. Also it is difficult to obtain objective information on the subject matter in the very short time available.	RC	RoP 52 and 53	GCC TF	Timeline - RoP	
yes	Tighter and clearer criteria for submission of such motions	The terms urgent and new can be interpreted in different ways and so, in the absence of clarification of the Rule, the decisions of the RC are likely to be controversial with certain Members.	RC	RoP 52	GCC TF	RoP + Guidance note	
	Stage 6 - Discussion of Motions on site - Plenary						
	Stage 7 - Discussion of Motions on site - Contact Groups						
	Allow for the possibility for overnight sessions of CG		RC / Oryx	No	SEC	Subject to availability / host agreement. May need to identify other options	
	Ensure badges clearly distinguish Members from other participants (such as Commission Members etc.)		RC	No	SEC	Guidance notes	
yes	Better balance between NGO and Government participation in Contact Group (e.g. limit participation to one representative per NGO Member)	Some State and Government Agency Members have complained that in Hawaii some CG discussions were dominated by NGO Members.	RC	RoP 56 or Resolutions Committee or Congress Steering Committee approving procedures for Contact Groups	SEC / GCC TF	Guidance notes or procedures for Contact Groups	
yes	New rules to govern participation of Commission members and National and Regional Committees in contact groups (keep numbers of Commission members to a minimum / assigned speaker)	In some cases domination of CG discussions by Commission Members.	RC	RoP 56 or Resolutions Committee or Congress Steering Committee approving procedures for Contact Groups	SEC / GCC TF	Guidance notes or procedures for Contact Groups	
yes	Prohibit the participation of observers in Contact Groups	In Hawaii there was a corporate lobbyist in one contact group.	RC	RoP 56 or Resolutions Committee or Congress Steering Committee approving procedures for Contact Groups	SEC / GCC TF	Guidance notes or procedures for Contact Groups	
	Give explicit authority to Contact Group facilitators to convene a drafting group		RC	No	SEC / MWG	Guidance notes or procedures for Contact Groups	

	Create a Contact Group code of conduct		RC / Part	No	SEC / MWG / GCC TF	Guidance notes or procedures for Contact Groups	
no	Text from Contact Groups should contain minority view (alternative wording) in text in square brackets, to avoid Members (minority view) having to propose their amendments from the floor in the plenary		RC	RoP 56 or Resolutions Committee or Congress Steering Committee approving procedures for Contact Groups	GCC TF / SEC	Guidance notes - possibly RoP	
yes	If consensus not possible, a drafting group prepares a consensus text to be presented to plenary. If this is not possible, text with brackets to be presented to the plenary	Avoid adversarial way of taking decisions as was the case with Motion 007 (+ underlying assumption: value of IUCN Resolutions and Recommendations is that they present a common, considered, negotiated view of the global conservation community. Motions passed by simple majorities against strong opposition, although legally valid, in practice lack legitimacy and authority, especially with dissenting parties)	M. Horie	Possibly	GCC TF	Guidance notes - possibly RoP	
yes	Requirement to present amendments first to Contact Group and only bring them to the plenary in exceptional circumstances		RC	RoP 58-62	GCC TF	RoP	
Miscellaneous							
	Make available all guidance documents (for all stages) before the motions process starts		Mem	No	SEC	Timeline	DONE (timeline provides for distribution / publication of guidance in advance)
yes	WCC Decisions to be taken by consensus and voting only when consensus can't be reached	Avoid adversarial way of taking decisions as was the case with Motion 007 (+ underlying assumption: value of IUCN Resolutions and Recommendations is that they present a common, considered, negotiated view of the global conservation community. Motions passed by simple majorities against strong opposition, although legally valid, in practice lack legitimacy and authority, especially with dissenting parties)	Oryx	Statutes 31	GCC TF	Statutes	
yes	Need for higher majority vote to adopt WCC Decisions	Avoid adversarial way of taking decisions as was the case with Motion 007 (+ underlying assumption: value of IUCN Resolutions and Recommendations is that they present a common, considered, negotiated view of the global conservation community. Motions passed by simple majorities against strong opposition, although legally valid, in practice lack legitimacy and authority, especially with dissenting parties)	Oryx	Statutes 31	GCC TF	Statutes	identif

yes	Requiring and guaranteeing the scientific independence of the work carried out by Commissions and Secretariat under IUCN's technical role	Protecting IUCN's technical role from partisan interference from any source	Oryx	Statutes 3 (d) or other provisions	GCC TF	Statutes	
	Link between discussion draft IUCN Programme and Motions (reconsider timeline)		RC / Part	No	SEC	Timeline	DONE (timeline provides discussion of the draft IUCN Programme (online and in RCF) while the motions submission process is open)
yes	Ensure serious nature of motions process is respected, as well as the specific nature of the IUCN membership, and is not used merely as an opportunity for students or others on negotiation and public speaking		RC	Possibly RoP 24-40	SEC / MWG / GCC TF	Guidance notes or RoP	



94th Meeting of the IUCN Council, Gland (Switzerland), 29 April – 2 May 2018

13th meeting of the Governance and Constituency Committee

Agenda Item GCC13/3.4

Terms of Reference and process for the appointment of the members of the World Conservation Congress Preparatory Committee 2020

Origin: [Director General]

REQUIRED ACTION

The Governance and Constituency Committee of the Council is invited to consider the proposed Terms of Reference and process to appoint the members of the Congress Preparatory Committee for the World Conservation Congress 2020 and to make a recommendation to Council.

DRAFT COUNCIL DECISION

The IUCN Council, *on the recommendation of its Governance and Constituency Committee*, **Adopts** the Terms of Reference of the 2020 World Conservation Congress Preparatory Committee [Annex 1], and **Approves** the process for the appointment of the members of the Congress Preparatory Committee.

Background

1. Statute 46 (q) provides that one of the functions of Council is *“to appoint a Preparatory Committee, Election Officer and a Motions Working Group in preparation for each session of the World Congress.”* The Preparatory Committee shall be appointed *“at least one year before the date set for the opening of a session of the World Congress”*. (Regulation 28)
2. According to Rule 15 of the Rules of Procedures of the World Conservation Congress, the Preparatory Committee *“together with the President, Vice-Presidents and Director General shall comprise the Steering Committee which shall be charged with the general duty of forwarding the business of the World Congress”*.

Proposed Terms of Reference of the Congress Preparatory Committee (Annex 1 hereafter)

3. The role of the Committee is to oversee the preparations for the Congress while the Director General is responsible for organizing the Congress.
4. The Congress Preparatory Committee is charged with supervising the compliance with the terms and conditions of the Host Country Agreement between IUCN and the host Country.

5. The Congress Preparatory Committee will act as appeals body in connection with motions referred to an online debate and vote to be held prior to the Congress (Rules of Procedure 62ter).

Proposed process for the appointment of the members of the Congress Preparatory Committee

6. It is proposed that the Congress Preparatory Committee consists of five to seven members of Council to be appointed by Council on a recommendation of the President and the Vice-Presidents acting as Nominating Committee (as per Regulation 48(c)(ii)) taking into account the following criteria:
 - Expressed interest in serving on the Committee
 - Good knowledge of IUCN and previous Congresses
 - Gender balance
 - Regional balance
 - Representation of Council Committees and IUCN Commissions

To establish the Committee, Council members will send their expressions of interest indicating the role they can play within the Congress Preparatory Committee (CPC) and their time availability to the IUCN President by 31 August 2018.

Council shall appoint the members of the CPC at their meeting during the 95th Council in October 2018.

7. In addition, a representative from the host country, appointed by the host country, will be a full member of the Congress Preparatory Committee. In line with past practice, the Director General and IUCN's Legal Advisor are ex-officio members.
8. When acting as appeals body, the CPC will have additional members as per Rule of Procedure 62quarto¹. Council decision C/84/30 states that the Bureau will add three (3) such individuals to the CPC. These individuals, who shall be familiar with IUCN's biodiversity conservation work and the IUCN World Conservation Congress, shall be selected by Council following a call for nominations to the IUCN membership. The appointment will need to be completed before the motion submission deadline, which will be set by Council.
9. The first face-to-face meeting of the Congress Preparatory Committee will take place in conjunction with the 96th Council meeting (1st meeting in 2019). The Committee will be supported by the Secretariat's Union Development Group.

¹ The Congress Preparatory Committee acting as appeals body will include individuals representing the common interests of Members but who are not themselves members of the Council or personally involved with the motions process. The Congress Preparatory Committee acting as appeals body shall be chaired by one of its members who is not the Chair of the Congress. In the case of an equality of votes, the Chair of the Congress Preparatory Committee acting as appeals body may cast the deciding vote (Rules of Procedure, 62quarto).

CONGRESS PREPARATORY COMMITTEE DRAFT TERMS OF REFERENCE

(Approved by Council at its xxx meeting, date, decision xxx)

The Congress Preparatory Committee is established by Council¹ to ensure the necessary preparations are made for the IUCN World Conservation Congress. The role of the Committee is to oversee the preparations for the Congress while the Director General is responsible for organizing the Congress. The Preparatory Committee will ensure consistency with and adherence to IUCN's Statutes, Regulations and the Rules of Procedure of the World Conservation Congress. And, as called for in the Rules of Procedure of the World Conservation Congress², it will assume the role of the Steering Committee during the Congress.

In fulfilment of these responsibilities the Congress Preparatory Committee shall:

- Ensure that the Congress is well aligned with the mission and vision of IUCN and that the rights and interests of IUCN's Members and components are fully incorporated in the design, planning and execution of the Congress;
- Recommend to Council for approval the TOR of the Motions Working Group and a process to appoint its members in time to oversee the motions process;
- Recommend to Council the appointment of an Election Officer and to approve its respective TOR as per statutory requirements;
- Coordinate closely with the Motions Working Group and the Election Officer in order to ensure that motions and nomination / election processes, including the deadlines for submission of motions and nominations, are streamlined and recommend approval of such deadlines to Council;
- Monitor the Congress preparations by the Secretariat and the implementation of the Hosting Agreement by the host country based on status reports provided by the IUCN Secretariat and the Host Country at each CPC meeting ;
- Consider the draft agenda for the Congress and recommend its approval to Council;
- Oversee the process for identifying members for the different Congress Committees;
- Support the fundraising efforts by opening doors to potential donors and sponsors;
- Act as appeals body for motions referred to the electronic debate and vote to be held prior to Congress. When acting as appeals body, CPC's membership will be extended with individuals representing the interests of Members as provided in the Rules/Regulations.
- Keep Council informed, as the case may be with recommendations, on the fulfilment of its responsibilities.

¹ Statute 46 (q)

² Rules 15-18

94th Meeting of the IUCN Council, Gland (Switzerland), 29 April – 2 May 2018

Programme and Policy Committee (43rd meeting)

Agenda Item PPC43/1

IUCN Annual Progress Report 2017 – Rev 2

Origin: Planning, Monitoring, Evaluation and Risk Management Unit

REQUIRED ACTION:

The Programme and Policy Committee is invited to consider the IUCN Annual Progress Report 2017 and provide guidance and direction as required.

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Executive Summary

The Annual Report 2017 reports on progress on the first year of implementation of the IUCN Programme 2017-2020. It follows a revised Annual Reporting Framework (Annex A) presented to the Programme and Policy Committee of Council and Framework Donors (November 2017). The report, which uses 2016 baseline data when available, is the first of its kind to provide an account of progress based on the data generated by the Programme and Project Portal, furthering evidence-based monitoring and reporting (Box 1). It thereby complies with contractual obligations to Framework Partners and the provisions of the Strategic Planning and Reporting Framework (Annex 4 to Council decision C/88/7) to produce a report on programme and project status on an annual basis. This report complements the Corporate Annual Report by providing quantitative evidence of progress based on an approved monitoring framework.

Outcome stories provide an illustrative sample of IUCN's key achievements in addressing societal challenges in 2017. This showcases project interventions at various scales, in a wide range of geographies, covering climate change, inclusive green growth, gender, ecosystem management and engaging indigenous peoples that show potential of IUCN interventions to catalyse significant change at scale. In future reporting exercises, reporting will shift from individual project narratives to a focus on programmatic-wide initiatives.

In 2017, there was steady progress in the implementation of the IUCN Programme 2017-2020. According to this assessment, 70% of the Programme Targets are on track or have achieved their goals for 2020. The IUCN Programme, including its 30 Programme Targets, were adopted by Members during the IUCN World Conservation Congress 2016. To operationalize these targets, 55 indicators were developed, with accompanying baseline and 2020 target values. When more than one indicator reports to the Programme Target, this assessment provides an average measure of progress. The indicators that did not reach a 25% threshold of progress in 2017 -- assuming a simple linear progress of implementation over 4 years -- were further examined in a newly introduced deviations section. The main reasons identified for slower performance include lack of project funding to sustain the expected level of progress, possible under-reporting and wider methodological issues related to the quality of the underlying indicator.

42% of IUCN's projects engaged Members in direct project implementation through contractual agreements, with States and government agencies being involved in 38% of those. In addition, 19% of total project portfolio expenditure was spent through Members, 2% through National and Regional Committees and 8% through Commissions. In 2017, OECD DAC State Members channelled 20% additional unrestricted funds into IUCN compared to 2016 to support the delivery of national and international biodiversity commitments. This provides a good basis for further documenting the extent of One Programme engagement but also its nature, bearing in mind this should also capture non-project activities, such as for The Red List of Threatened Species and other knowledge products.

In 2017, IUCN showed further signs towards wholesale delivery. This is evidenced by a year-on-year increase of 24% in the value of the actual project portfolio (from CHF 294 million to CHF 366 million); combined with a decrease in the number of projects (from 298 to 262); as well as an increase in project size (2 additional projects above CHF 5m, representing an increase of CHF 55 million under that category). Portfolio expenditure and the proportion of projects under each programme delivery category (generation and application of scientific knowledge; implementing agency; IUCN thematic initiatives; non-aligned stand-alone projects; and programmatically-aligned single projects) confirmed a trend towards implementing thematic initiatives. In addition, there is an emerging GEF/GCF project portfolio with a growth in the value of the GEF project portfolio of 25% in 2017 (approval of one additional project).

In line with shifting donor priorities and in parallel to a healthy and expanding project portfolio, the organisation continued to benefit from projectized funding. In terms of expenditure, IUCN showed strong contribution to the SDGs, the Aichi Targets and the Targets of the IUCN Programme 2017-2020, especially to the ones in which IUCN has built its niche.

In 2017, IUCN showed deliberate and demonstrable steps to moving gender equality forward in the organisation. This included active participation and commitment to the International Gender Champions initiative as well as the continued roll-out of the 2016 IUCN Course of Action on Gender. Progress was also achieved in the development of a 'gender and environment' guidance to mainstream gender across operations. As in many other organisations, challenges remain however, including the proportion of women in management positions which remain low. More generally, staffing numbers remained stable in 2017. The results of the annual staff survey were also overwhelmingly positive, with some significant progress made in a number of key domains. In addition to these people development and organisational culture issues, strong progress was made in the implementation of the wider organizational change process towards a relevant and stable IUCN, initiated in late 2016.

In 2017, there was overall good progress in key governance processes, including the implementation of 83% of the IUCN Resolutions and Recommendations of the World Conservation Congress 2016 and 73% of enhanced practices and reforms of IUCN's governance.

Box 1. Furthering evidence-based monitoring and reporting

Over the last couple of years, the organisation has invested in the development of a Project Management Information System (the Programme and Project Portal) to provide an online, centralized information system that is the primary source of all project, programme and portfolio information.

Data generated through the Portal enables the reporting of quantitative evidence on the progress towards IUCN's 30 Programme Targets, One Programme engagement and programme delivery more generally.

This report thus constitutes an important shift in the way of conducting programme progress reporting by having a complete monitoring framework with indicators, baselines and 2020 target values that allow measuring progress quantitatively. This contrasts with past reporting endeavours which have had to rely on more anecdotal evidence and did not allow any quantification of outputs or results. The report is also accompanied by a technical note (Annex B) which details assumptions as well as known limitations of the reporting exercise as well further explains plans for further improving on the implementation of the Annual Reporting Framework.

IUCN will continue to improve the quality of data entered in the Portal so as to refine and further improve the reliability of reporting on progress in programme delivery. For this purpose in particular, and starting in Q1 2018, project managers are validating project data in the Project Portal on a quarterly basis. This move will ensure that data is complete and up-to-date and lessens the burden of recurrent reporting exercises, including for the Annual Report, Annual Work Plan and Finance updates. The move also allows for the development of management scorecards, providing Project Managers and Senior Managers with real-time information on the state of health of the project portfolio.

Early lessons learnt from implementing the current monitoring framework, as supported by Project Portal data, will also serve the development of the IUCN Programme 2021-2024. Considerations should be given to reviewing these so as to include at the very core of the new Programme a strong monitoring framework with baselines. Such considerations will further enable to demonstrate key achievements and value for money in investing in nature conservation and the organization.

1. Key Achievements

Outcome stories provide an illustrative sample of IUCN's key achievements in addressing societal challenges in 2017. This showcases project interventions at various scales, in a wide range of geographies, covering climate change, inclusive green growth, gender, ecosystem management and engaging indigenous peoples that show potential of IUCN interventions to catalyse significant change at scale. In future reporting exercises, reporting will shift from individual project narratives to a focus on programmatic-wide initiatives.¹

Delivering on inclusive, green and climate resilient growth

In the Southern Agricultural Growth Corridor of Tanzania and the Zambezi growth corridor in Mozambique, IUCN combines demonstration work with technical and policy support to drive systemic change in the integrated management of business, investment, land and water resources for sustainable growth in the region. Sustainability and Inclusion Strategy for Growth Corridors in Africa (SUSTAIN-Africa) with farmers, communities, business, village and local authorities, corridor development agencies, national agencies, ministries and parliamentary commissions.

The project has facilitated stakeholder-inclusive development of village land use plans across eight landscapes and 13 villages in SAGCOT, which integrate livelihoods needs with ecosystem values and wildlife protection, while raising community awareness about land rights. While this already benefits 40,000 people, success and lessons from this process directly informs IUCN's work with the National Land Use Planning Commission, to significantly raise the number of villages with such plans in place (currently only 10% nationwide). SUSTAIN has also worked with agencies at national and corridor level to establish sustainable investment criteria that will be applied to screen new investments into the corridor, projected to be upwards of USD 2 billion by 2030. Five new interest-based partnerships between businesses, communities and forest and water agencies are being established in the Kilombero valley and in the Sumbawanga region, modelling new ways of bridging business, land water and ecosystems management.

The project has also facilitated the mobilisation of private investment into sustainable irrigation in the Katuma Catchment of southwestern Tanzania, bringing water use for farming into legal and environmental compliance. As a result, in 2017 environmental flows were restored to benefit aquatic ecosystems in the downstream Katavi National Park; 5,000 farmers now have access to more reliable and sustainable water resources; and funds that used to flow out to illegal water operators – 4% of the farmers' production – now will flow back into the community for re-investment. In this landscape, SUSTAIN has thus facilitated private investment into inclusive development, while strengthening local and basin-level governance structures around water management, increasing farmers' self-reliance and sustainable livelihoods, and protecting precious biodiversity and natural resources downstream. Such examples are being used to inspire and mobilise systemic change towards inclusive green growth in African growth corridors.

Women in Coastal Conservation for Climate Resilience

Through its grants facility, Mangroves for the Future (MFF) invests in projects that support local action to strengthen the resilience of coastal communities. With their knowledge of sustainable resource-management at the household as well as the community level, women play a fundamental role in a collective response to climate change. By the end of 2017, MFF has disbursed over USD 8m in funding for projects, with 77% of all small grant projects being gender responsive, actively recognizing and responding to women's needs.

¹ Programmatic initiatives are defined as: a single "brand"; a common Theory of Change; shared higher-level objectives; multiple level and multiple country delivery; multiple cost centre implementation/ execution; multiple (donor) awards/ projects. Typically the total value of all associated grants exceeds CHF 10 million (excluding leverage /co-finance).

Benefiting more than 34,000 women, 100 projects contributed to improving women's livelihoods and income by an average of 30%, and 110 supported education and skills development for women and their families. Mangroves for the Future continues to recognise that livelihood diversification, gender equality, and empowering women are fundamental to conservation and developing sustainable responses to climate change.

Beyond a pledge: A breakthrough to action

Once fulfilled, the 2030 Bonn Challenge target of 350 million ha under restoration will be a massive global achievement – sustaining livelihoods, sequestering carbon, regulating ecosystems and supporting biodiversity. The commitments made from governments in 2017 mean that the first major Bonn Challenge milestone was reached three years ahead of schedule. By the end of 2017, 47 commitments have been made to the Bonn Challenge, totalling 160 million ha of degraded land.

While high level political pledges are important, they are in themselves, not enough. Therefore, IUCN has worked with countries to take the next steps to deliver restoration, at scale, on the ground. IUCN's new global restoration monitoring tool, the Bonn Challenge Barometer, launched in 2017, reported concrete action on FLR for 13,325,900 ha of degraded land, but the full scale of progress will only become apparent when the first complete Barometer report is issued at the end of 2018.²

By working directly with 26 countries (national and subnational level), IUCN has supported 35 landscape restoration assessment processes across more than 450 million ha of land, and identified 160 million ha of opportunities to restore degraded landscapes along with quantified benefits; this was in parallel with the training of over 250 leaders on landscape restoration and the restoration opportunities assessment methodology (ROAM). These assessments have subsequently been translated into new or reformed policies and plans relevant to forest landscape restoration in 34 jurisdictions and pilot actions initiated in 45 sub-national jurisdictions. More than 120 national governments included FLR in their climate action NDCs.

Such IUCN analysis, policy reform and implementation have unlocked finance, including over USD 270m of public money from GEF funds and governments. There is also growing support to mobilise USD 8m for conservation finance aimed at generating another USD 100m in private sector investments. IUCN has demonstrated the potential scale of returns by investing in FLR. For instance, USD 56 is expected to be generated in the next 35 years for every dollar invested in supporting FLR in Guatemala. This is based on identified opportunities, such as agroforestry and timber production, estimated at over USD 700m that will benefit landowners in Guatemala over the same period.

Investing in the transformative potential of equality – empowering women and men to overcome environmental and sustainable development challenges

Around the world, governments have committed to addressing climate change and advancing gender equality as urgent priorities. Last year, Parties to the United Nations Framework Convention on Climate Change agreed to its first-ever Gender Action Plan to support implementation of more than 60 gender-related mandates that have been agreed by the UNFCCC over the last decade. However, mapping the barriers and opportunities for advancing gender equality and women's empowerment innovatively and with impact throughout priority sectors remains a challenge for many.

IUCN works with the United States of America, the United Nations Development Programme, the Green Climate Fund and others to assist national governments and regional authorities in developing and implementing Climate Change Gender Action Plans (ccGAPs) that enhance mitigation, adaptation and resilience-building efforts for women and men in every community. 23 ccGAPs have been developed to date. In each community, ccGAPs assist the implementation of international and national gender and environment-related mandates by ensuring diverse stakeholders – particularly those traditionally marginalised – take part in mitigation actions that transform societies towards gender equality and sustainability.

In 2017, IUCN's partnership with the United States Agency for International Development (USAID) on [Advancing Gender in the Environment \(AGENT\)](#) supported the Government of Peru in implementing its recent ccGAP wherein IUCN convened over 20 women's organisations in national climate change

² The number reported is verified actions toward restoration

planning for the first time ever across eight priority sectors – including forests, water and Disaster Risk Management. As a result, Peru is forging new strategic linkages – among outcomes, a gender focal point was established in the Ministry of Environment; the Amazonian Plan for Climate Change adopted fundamental principles established by the ccGAP; and the Government of Peru is working to ensure its ccGAP informs the implementation and project portfolio development for Peru's Nationally Determined Contributions (NDCs).

Further transforming how gender equality is programmed into multilateral coordination and initiatives, Peru's ccGAP is influencing the strategies and coordination of USAID's Peru Mission with other development agencies across sectors. In its Green Infrastructure for Water Security programme – which is investing USD 15 m to support scaling up green infrastructure to manage water risks – USAID is applying the methodologies and best practice of the ccGAP.

Enhancing governance and benefit sharing in indigenous territories

Extending over more than 700,000 ha in the North Caribbean Coast Autonomous Region of Nicaragua, the Miskito Cays Biological Reserve has 15 different ecosystems and a population of 39,800 people. Based on the agreement established with three Indigenous territories of this reserve (Karatá, Tawira and Prinzu Ahuya Un), IUCN facilitated in 2017 a participatory process for the management of natural resources respecting the rights of people and nature. This resulted in the following: Regulations for consultation and Free, Prior and Informed Consent, used for the negotiation of the settlement of a navy base in their territories and an agreement signed with the Nicaragua Navy, which regulates the operation of the base and recognizes the ownership of this Indigenous territory; and a handbook on equitable and sustainable resource sharing which has improved accountability and local mechanisms for administration and distribution of benefits. The latter has contributed to a 40% increase in fisheries fees collected by the Tawira Territorial Government.

IUCN Niger Delta Panel's recommendations contribute to efforts to mitigate impacts from oil spills and safeguard the region's biodiversity

Since the 1950s, Nigeria's Niger Delta has been a hotspot for oil and gas extraction and, unfortunately, this region has also experienced oil spills due to theft, sabotage and industrial accidents. These oil spills have negatively impacted the sensitive environment and its biodiversity. In a study published in *Science of Total Environment (April 2017)*, recommendations put forward by the IUCN Niger Delta Panel were tested as part of a study led by Shell Petroleum Development Company (SPDC) Joint Venture to examine the most effective way to break down hydrocarbon in oil contaminated soil in the Niger Delta.

International remediation experts and scientists were involved in the study, in addition to members of the IUCN Niger Delta Panel. IUCN led the independent scientific advisory panel at the request of SPDC Joint Venture from 2012-2016. Its objectives were to assess how best to approach the remediation and rehabilitation of oil spill sites within the company's areas of operation, and evaluate the company's own procedures for undertaking such work.

Other recent initiatives undertaken by the Panel included finalising the recently published report, *Developing a biodiversity conservation strategy for the Niger Delta: Integrating biodiversity considerations into SPDC's operations*, which was shared with Shell's International Board and shareholders. Today, SPDC is working with Nigerian regulators to develop risk-based screening levels for soil and groundwater in the Niger Delta, aligning assessment methodology and clean up practices with international best practice. IUCN plans to monitor the implementation of other Panel recommendations, as part of a new four-year collaborative agreement with SPDC. As part of the new agreement, it intends to capture other examples of best practice for the extractives sector and engage a broader range of stakeholders in delivering real change for the Delta's biodiversity.

2.1 Progress in implementing the IUCN Programme 2017-2020

In 2017, there was steady progress in the implementation of the IUCN Programme 2017-2020.

According to this assessment, 70% of the Programme Targets are on track or have achieved their goals for 2020. The IUCN Programme, including its 30 Programme Targets, were adopted by Members during the IUCN World Conservation Congress 2016. To operationalize these targets, 55 indicators were developed, with accompanying baseline and 2020 target values. When more than one indicator reports to the Programme Target, this assessment provides an average measure of progress. The indicators that did not reach a 25% threshold of progress in 2017 -- assuming a simple linear progress of implementation over 4 years -- were further examined in a newly introduced deviations section. The main reasons identified for slower performance include lack of project funding to sustain the expected level of progress, possible under-reporting and wider methodological issues related to the quality of the underlying indicator. For a detailed view of progress of all indicators see Annex C.

Valuing and conserving nature (T1-T12)

In 2017, IUCN had a strong presence in the field delivering conservation action (T9, Indicators 9.1-9.3) as demonstrated by the increasing number of projects (from 17 to 135). On the policy front, six countries adopted wildlife laws and regulations (T.7, I.7), and 35 countries now have policy responses to the management of invasive alien species (T.11, I.11). The outputs produced by the following knowledge products showed progress but below the 25% threshold: the number of assessments of The IUCN Red List of Threatened Species (T.1, I.1) and the Red List of Ecosystems (T.2, I.2), the number of Key Biodiversity Areas identified (T.4, I.4), the number of IBAT (Integrated Biodiversity Assessment Tool) subscriptions (T.8, I.8), and the numbers of sites assessed against the Green List criteria (T.10, I.10). Protected Planet (T.3, I.3), demonstrated good progress in relation to the establishment of protected areas under Aichi Target 11 (T.3, I.3).

Promoting and supporting effective and equitable governance of natural resources (Targets 13-21)

As of end of 2017, 965 institutions have mechanisms such as climate change gender action plans, to ensure effective participation in decision making (T.17, I.17); and 63 countries were supported to enhance the reporting in relation to their international commitments to biodiversity conventions and other related international agreements (T.21, I.21), for e.g. NBSAPs. There was also good progress in the application of tools, methodologies and approaches for assessing and improving natural resource governance, which are consistent with the Natural Resource Governance Framework (NRGF) (T.14, I.14)³, for e.g. rights-based approaches.

Deploying nature-based solutions to address societal challenges (Targets 22-30)

In 2017, 124 countries used NBS supporting tools for decision-making (Target 24, Indicator 24), for e.g. the Restoration Opportunity Assessment Methodology (ROAM). In regards to the application of NBS on the ground, 33 new mechanisms were established for payment and compensation for NBS (T.25, I.25), for e.g. a national fund for forest financing; approximately 248,000 beneficiaries participated in 111 mechanisms that foster participation at the national and sub-national level (T.26, I.26); and 48 new areas of particular importance to biodiversity, covering 78,7862 km², are now under conservation management (T.30, I.30).

³ The NRGF is an IUCN initiative created for the purpose of providing a robust, inclusive, and credible approach to assessing and strengthening natural resource governance, at multiple levels and in diverse contexts.

Table 1: Traffic light assessment of progress⁴ of the IUCN Programme 2017-2020

Target achieved - >100%	On track to achieve target- >25% (if we continue on our current trajectory we expect to achieve the target by 2020 / > 25% progress)	Progress towards target but at an insufficient rate - 10-25% (unless we increase our efforts the target will not be met by its deadline)	No significant overall progress - 0-10% (overall we are neither moving towards the target nor moving away from it)	No Progress - 0%	Unable to rank progress due to lack of target, lack of data or lack of confidence in data
#	Target description				Traffic light
1	The IUCN Red List of Threatened Species™: global assessments of 160,000 species completed including reassessments to generate indicators and at least 75 % of countries with national and regional Red Lists use the IUCN Red List Categories and Criteria.				
2	The IUCN Red List of Ecosystems: ensure global assessment of risk of collapse of 25% of the world's ecosystems according to an agreed global ecosystem classification.				
3	Protected Planet documents accurate and up-to-date information on protected areas under Aichi Target 11, including coverage, management effectiveness, governance, ecological representativeness, connectivity, other effective area-based conservation measures, as well as outcomes and other metrics for Green Listing.				
4	2,500 Key Biodiversity Areas (KBAs) are identified and the current datasets are updated against the new KBA standard to document all sites contributing significantly to the global persistence of biodiversity.				
5	IUCN knowledge, including gender-specific knowledge as appropriate, on the value and conservation of nature is generated and communicated to influence key global, regional and local decisions and actions.				
6	The implementation of commitments under biodiversity-related conventions and international agreements is accelerated.				
7	New legislation and policies are developed (and implemented), and existing laws and policies are enforced, to address illegal wildlife trafficking.				
8	The development and implementation of standards, safeguards, natural capital metrics, incentives and the development of relevant regulatory frameworks (in the public, private and financial sectors) are recognised and put into practice.				
9	Targeted conservation actions lead to the recovery of species and ecosystems.				
10	Protected area networks are expanded to conserve areas of particular importance for biodiversity through effectively and equitably managed, ecologically representative and well-connected systems of protected areas and other effective area-based conservation measures.				
11	Invasive alien species and pathways are identified and prioritised, priority species are controlled or eradicated, and measures are in place to manage pathways to prevent their introduction and establishment				
12	NatureForAll raises awareness of nature and its values and enables more people to experience, connect with, and take action to conserve nature				
13	IUCN tools, methodologies and approaches for assessing and improving natural resource governance are available and used.				
14	Natural resource governance systems assessed (through testing of methodologies) under different management regimes, including protected areas, and corresponding improvement plans developed				
15	Community-led, cultural, grassroots or protected area governance systems that achieve the effective and equitable governance of natural resources are recognised (as best practices/pilot testing), supported and promoted, while respecting the rights of nature				
16	Intervention points in which rights regimes related to natural resources are clear, stable, implementable, enforceable and equitable have increased and are effectively integrated with other rights regimes – particularly for women, indigenous people, youth and the poor – have increased				
17	The capacity of institutions (including protected area and customary institutions) to undertake decision making in a participatory, inclusive, effective and equitable manner is enhanced, especially for facilitating the active participation of women, youth and indigenous peoples as key stakeholders.				
18	Intervention points in which natural resource governance has the capacity to halt illegal natural resource use, through the promotion of rule of law and access to justice, have increased				
19	Legal and institutional frameworks for an increased number of transboundary areas, including protected areas, are established and deliver effective and well-implemented natural resource governance				
20	International governance mechanisms for marine areas beyond national jurisdiction, Antarctica and the Arctic are strengthened, including the establishment of marine protected areas				
21	The accountability of governments in relation to their commitments under environmental agreements and related policy frameworks is enhanced.				
22	IUCN and partners are equipped to systematically collect and compile disaggregated data that enables the assessment of the material benefits and cultural values that flow from ecosystems to, inter alia, indigenous peoples and local communities				
23	IUCN and partners have a peer-reviewed framework and tools to guide the targeting of nature-based solutions and assessment of nature-based solutions effectiveness in contributing to relevant SDGs and Aichi Targets at national or sub-national levels				
24	Key nature-based solutions interventions promoted by IUCN, (e.g. Forest Landscape Restoration, Disaster Risk Reduction, and Mangroves for the Future, river basin management and protected areas) are equipped to systematically assess and monitor the requisite in-country enabling frameworks, including legal, customary, institutional and resourcing mechanisms for implementation				
25	Legal, policy and institutional mechanisms (at the national and sub-national level) that support and reward ecosystem stewardship by local communities and other resource managers for the delivery of societal benefits have been piloted and documented				
26	Mechanisms to facilitate the active participation of women, youth and indigenous peoples as key stakeholders in the design and implementation of nature-based solutions are tested, evaluated and promoted				
27	Additional international or national financial mechanisms that encourage the deployment of nature-based solutions are established and /or strengthened				
28	New national, sub-national or corporate planning and investment frameworks are effectively implemented in productive ecosystems to contribute to biodiversity conservation, sustainably deliver ecosystem goods and services and promote 'land degradation neutrality'.				
29	Restoration processes and methodologies make demonstrable contributions to the restitution of key ecosystem services in degraded landscapes, watersheds and seascapes.				
30	Legal, customary and institutional mechanisms and resourcing are effectively implemented to maintain intact, natural and semi-natural ecosystems that deliver benefits to society, including existing and new protected areas.				

⁴ Adapted from CBD, 2014

2.2 Deviations

In 2017, 17 out of 55 indicators provided did not achieve the expected threshold of progress, assuming linear progress over the 4 years of Programme implementation (equal or over 25%). The main reasons identified for slower performance include lack of project funding to sustain the expected level of progress, possible under-reporting and wider methodological issues related to the relevance of what we are measuring. In most cases, corrective measures have been undertaken to address this situation (Annex D).

Secretariat “indicator champions” (focal points) of the following indicators identified the lack of project funding as the main reason why they did not achieve the expected threshold: Target 1, Indicator 1 on the number of species assessments (The Red List of Threatened Species) and T.2, I.2 on the number of ecosystem assessments (Red List of Ecosystems). As corrective measure, the IUCN Red List of Threatened Species is currently seeking efficiencies in order to ramp up the whole assessment process.

On a methodological level, some indicator champions also reported that during the first year of programme implementation they did not expect to reach 25% progress (Target 1, indicator 1 on number of species assessments and Target 29, indicator 29 on Restoration). There is evidence of good progress however and it is expected that the 2020 targets will be achieved. By way of illustration, the Bonn Challenge Barometer is the main data source for Target 29. The Barometer is still in pilot stage but it is expected that, by 2020, it will be available to all Bonn Challenge pledgers, which will significantly increase numbers reported.

With respect to how progress is measured, indicator champions for a number of policy-related indicators (Target 6, indicators 6.1- 6.8 on implementation of MEA commitments; Targets 19, indicator 19 on transboundary arrangements; and Target 20, indicator 20.1 on the high seas) reported that they are tracking processes in which IUCN has a limited sphere of influence. These indicators are intended to “take the pulse” of what is happening at a global scale, as opposed to explicitly measuring IUCN performance. No specific corrective measure is expected here although such issues should be considered in the development of the monitoring framework of the Programme 2021-2024.

Finally, some indicator champions identified under-reporting issues as the main cause for apparent low programme delivery, including Target 10, indicator 10 on Green List Assessments; Target 28, indicator 28.1 on NBS Public/Corporate investment sites; and Target 19, indicator 19 on transboundary arrangements. In all cases, corrective actions will be taken to enhance data completeness and quality for the next reporting period.

2.3 One Programme Engagement

42% of IUCN's projects engaged Members in direct project implementation through contractual agreements, with States and government agencies being involved in 38% of those. In addition, 19% of total project portfolio expenditure was spent through Members, 2% through National and Regional Committees and 8% through Commissions⁵. In 2017, OECD DAC State Members channelled 20% additional unrestricted funds into IUCN compared to 2016 to support the delivery of national and international biodiversity commitments. This provides a good basis for further documenting the extent of One Programme engagement but also its nature, bearing in mind this should also capture non-project activities, such as for The Red List of Threatened Species and other knowledge products.

a) Engagement

IUCN harnesses the knowledge, resources and reach of over 1,300 Member organisations from 164 countries. These include States, government agencies, non-governmental organisations (NGOs) and indigenous peoples' organisations (IPOs), a new category created at the 2016 World Conservation Congress.

42% of IUCN's projects engaged Members in direct project implementation through contractual agreements. However, it should be noted that the Portal thus far only tracks projects, but does not yet track knowledge products such as the Red List and other knowledge products.

Table 2: Number and % of active projects in 2017 that engage Members, Commissions and Committees⁶

	N° of active projects in 2017	% of active projects in 2017 ⁷
Members	177	42%
Commissions	96	22.8%
Reg./Nat Committees	9	2.1%
Total Active Portfolio	421	

Source: IUCN Project Portal, April 2018

b) Demand responsiveness to State and government agencies

In 2017, State Membership fell slightly from 89 to 88 State Members. This figure represents 45% of countries in the world and 84% of the top four groups of countries based on the UN scale of assessments.⁸ IUCN will continue to encourage growth in State Membership.

IUCN frequently engages states and government agencies in project implementation (with these categories representing 38% of all projects involving Members). Moreover, in projects without direct financial pass-through engagement of states and government agencies, it is common for IUCN to work with them to develop, implement, and communicate project activities. In addition, analysis of responses to the recent Membership survey (administered over 1334 Members) highlighted the value placed by State and government agency Members on access to scientific knowledge and data provided by the Union. Knowledge products (and the Red List of Threatened Species in particular), global standards and norms and the range of themes covered by IUCN's work are also rated highly.

⁵ This shows that the level of engagement of Members in project implementation is higher than the level of expenditure. This first reporting exercise has helped build a high level profile and has focused on the completion of non-granting project information in the portal. Future reporting cycles will continue to address improvement of data quality and completeness, including with respect to on-granting. Similarly, this section partially covers GEF project portfolio. Consequently, some level of under reporting is to be expected.

⁶ This number reflects the total project count in 2017; this means all C and D list projects with transactions in 2017 entered in the financial system (NAV).

⁷ The % is calculated using the total active portfolio value.

⁸ UN scale of assessment for the apportionment of the expenses of the UN (2016-2018)

Some of the key financial supporters of IUCN include State Members from OECD Development Assistance Committee (DAC). One measure of their engagement and satisfaction is the level of financial flows channelled through IUCN to support the delivery of these countries' global, regional and national commitments through the implementation of actions on the ground, policy influencing and capacity building.

In 2017, OECD DAC State Members channelled 20% additional unrestricted funds into IUCN compared to 2016 to support the delivery of national and international biodiversity commitments. This provides a good basis for further documenting the extent of One Programme engagement but also its nature, bearing in mind that collaboration goes beyond strict project implementation. Table 3 tracks the income received from IUCN State Members from OECD DAC, the European Commission, the Global Environment Facility and the Green Climate Fund to IUCN on an annual basis demonstrating increased investment and engagement with OECD DAC State Member countries.

Table 3: Income received from IUCN State Members from OECD DAC countries and other multilateral partners

INCOME RECEIVED FROM (in CHF)⁹		
IUCN STATE MEMBERS FROM OECD DAC COUNTRIES European Commission, Global Environment Facility and Green Climate Fund		
COUNTRY	2016	2017
Australia	502,031	635,730
Belgium	276,417	276,417
Canada	470,534	438,592
Denmark ¹⁰	7,102,712	1,760,956
Finland	806,061	602,962
France ¹¹	4,129,257	2,760,650
Germany	14,141,861	20,758,702
Iceland	15,520	15,520
Ireland	49,211	45,077
Italy	430,414	829,336
Japan	579,702	572,747
Korea ¹²	1,483,457	931,914
Luxembourg	51,338	354,737
The Netherlands	2,098,380	3,809,069
New Zealand	128,708	135,142
Norway	3,115,179	2,997,853
Spain	811,878	728,711
Sweden	7,378,940	11,807,718
Switzerland	7,357,053	6,755,294
United Kingdom	4,129,118	3,230,912
United States	6,426,016	8,501,169
European Commission (EC)	9,075,757	19,433,895
Global Environment Facility (GEF) ¹³	6,365,805	4,164,652
Green Climate Fund (GEF)	0	557,992

Source: IUCN Finance, April 2018

Changes in 2017 compared to 2016 should be interpreted with caution as it only demonstrates shifts between two years only and is a factor of the "lumpiness" of project finance. An analysis of trends will only be possible in future reporting exercises.

⁹ Income received includes State and Government Agency dues, in addition to core and project support.

¹⁰ Denmark ceased providing framework funding as of 2017

¹¹ Funding for 2017 will be recognised as 2018 income due to late signing of Framework Agreement

¹² Deferral of income in 2017 due to unspent funds

¹³ GEF/GCF projects are at development stage, income will increase as they move into implementation.

c) Flow of resources to Members, Commission members and Committees¹⁴

Project Portal data is used to track of the flow of resources (expenditure) to Members, Commissions and Committees going forward. Prior to this, One Programme engagement WAS based on self-reporting. As a consequence, reporting was most probably inaccurate. 2017 expenditure data will be used as baseline moving forward to track this.

Table 4: Expenditure in CHF ('000) through Members, Committees and Commissions¹⁵

	Total Spending CHF ('000)	Spent through Members CHF ('000)	Spent through Committees CHF ('000)	Spent through Comm Members CHF ('000)	Spent through Members %	Spent through Committees %	Spent through Commissions %
Policy and Programme Group	2,616	140	-	661	5%	0%	25%
Biodiversity Conservation Group	11,545	2,623	-	2,231	23%	0%	19%
Nature-based Solutions Group	20,630	2,740	64	2,579	13%	0%	13%
Regions	54,476	11,855	1,961	1,952	22%	4%	4%
Global	89,619	17,396	2,025	7,474	19%	2%	8%

Source: IUCN Project Portal, April 2018

Expenditure



d) Membership numbers and geographical presence

There was a slight fall in membership numbers in 2017 due to the withdrawal of rescinded Members following the decision taken by Congress in 2016 (see Article 13 of the IUCN Statutes). These withdrawals included the State Member Equatorial Guinea. Greece voluntarily withdrew as a State Member during the year and Egypt, who had been an IUCN State Member from 1976 to 2013, re-joined (Table 5). Membership applications continue grow steadily and Figure 1 shows the size of IUCN's Membership per statutory region in 2017.

The IUCN Council has discussed how the retention of Members could be addressed. It noted that most of the Members withdrawing or not being able to pay their dues are facing difficult current economic situations. IUCN is actively engaged on a number of levels (Council and Secretariat) in trying to retain these Members.

In 2018, the Membership Unit is to develop a Membership Strategy. The main aim of the strategy will be to have a committed and engaged membership which can work alongside the Secretariat and Commission members to advance the mission of the Union by effectively implementing its Programme.

¹⁴ The flow of resources to other partners will be reported in Section 2.4.c on trends in grant-making.

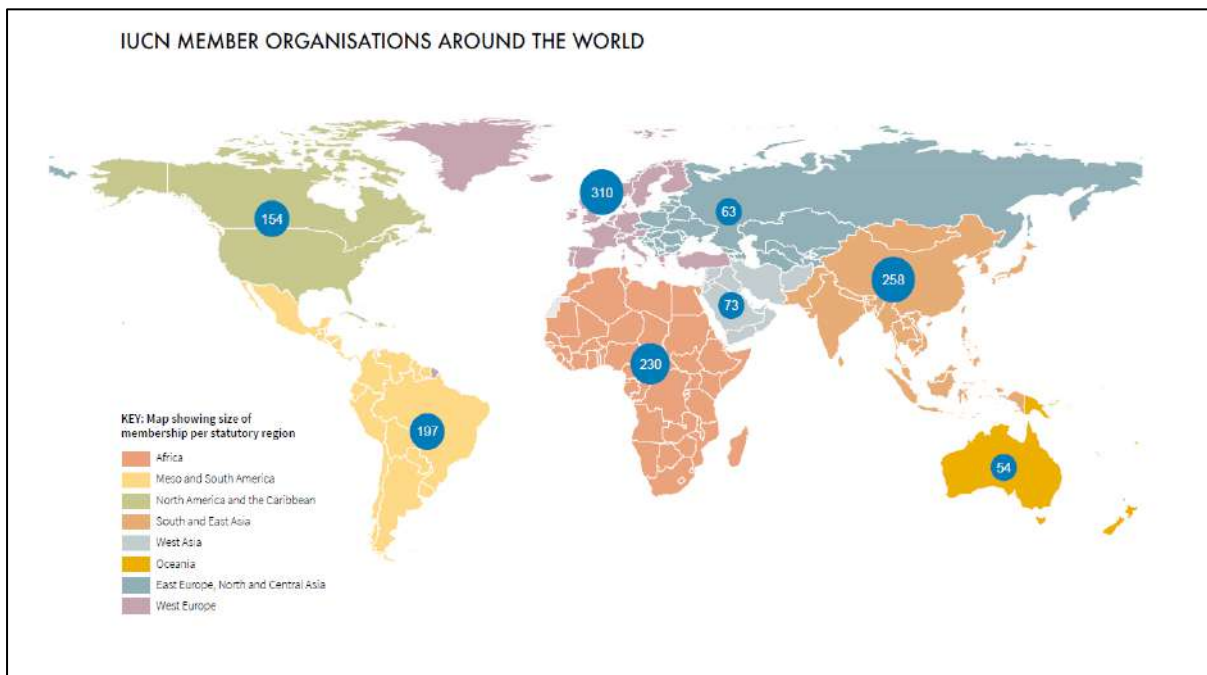
¹⁵ Spending of Global Programmes and Regions does not add up to the total amount reported on each of the categories. This is because other corporate units contributed on minor amounts to the total aggregates. This will be reviewed in future reporting exercises.

Table 5: Number of IUCN Members 2016-2017

Category	2016	2017
States	89	88
Government Agencies	133	125
National Non-Government Organizations	997	957
International Non-Government Organizations	113	107
Indigenous Peoples' organisations		17
Affiliates	49	45
Total	1,381	1,339

Source: Union Development Group, April 2018

Figure 1: Size of IUCN Membership per statutory region



Source: IUCN Corporate Annual Report 2017

2.4 Programme portfolio and delivery models

In 2017, IUCN showed further signs towards wholesale delivery. This is evidenced by a year-on-year increase of 24% in the value of the actual project portfolio (from CHF 294 million to CHF 366 million), as well as an increase in project size (2 additional projects above CHF 5m, representing an increase of CHF 55 million under that category). Portfolio expenditure and the proportion of projects under each programme delivery category (generation and application of scientific knowledge; implementing agency; IUCN thematic initiatives; non-aligned stand-alone projects; and programmatically-aligned single projects) confirmed a trend towards implementing thematic initiatives. In addition, there is an emerging GEF/GCF project portfolio with a growth in the value of the GEF project portfolio of 25% in 2017 (approval of one additional project).

a. Number and size of the active project portfolio

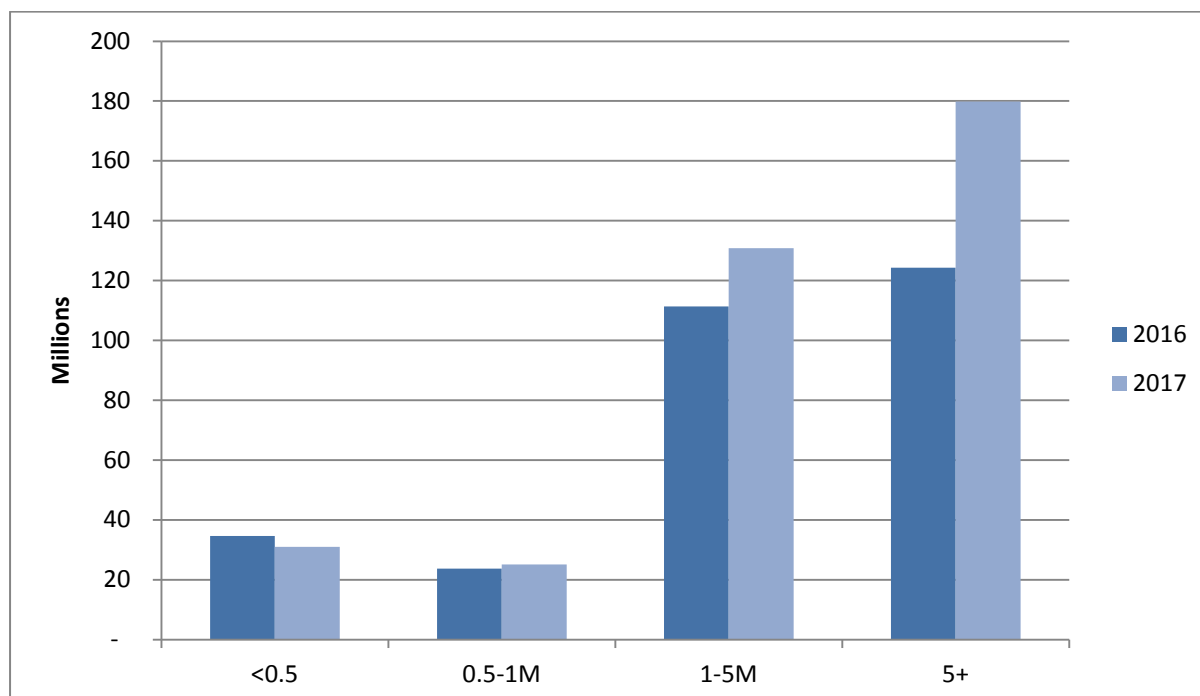
In 2017, total project portfolio value increased 24%, in addition to the average and median project value. Wholesale shift was also reflected in the distribution of project size (Figure 2).

Table 6: Basic portfolio information¹⁶

	2016	2017	Change
Number of projects	298	262	-12%
Average duration (yrs)	3.39	3.50	+3%
Median duration (yrs)	3.0	3.0	
Average project value (m CHF)	0.98	1.39	+42%
Median project value (m CHF)	0.23	0.38	+65%
Portfolio value (m CHF)	294	366	+24%
Project yearly Value	0.28	0.37	+32%

Source: IUCN Project Portal, April 2018

Figure 2: Total contract amount of projects under implementation 2016-2017¹⁷



Source: IUCN Project Portal, April 2018

¹⁶ Average size of projects was calculated based on 2017 and 2018 budget data, only for C list projects and restricted project funding. Framework funding was excluded from the analysis.

¹⁷ Graph generated with data from the 2018 budget (submitted in 2017) and 2017 budget (submitted in 2016). Only Restricted C List Projects.

77% of the total project expenditure was implemented at the national level, meaning that resources were spent where effective implementation happens. Expenditure has been recorded at three levels that are mutually exclusive: national, regional or global. Figures 4 and 5 below need to be presented together as only the projects that have not been split by Statutory State in the Portal are classified under the regional or global categories.

Based on 2017 portfolio expenditure, the key characteristics of the project portfolio are:

- At the State level, the highest level of expenditure was in Honduras (3.82m CHF), followed by Burkina Faso (3.24m CHF), Tanzania (2.67m CHF), Kenya (2.53m CHF) and Mozambique (1.99m CHF) (Figure 3).¹⁸
- At the regional level, the regional office with the highest level of expenditure was Asia (2.26m CHF), followed by Eastern and Southern Africa (2.02m CHF), Europe (1.69m CHF), Mediterranean (1.37m CHF) and Headquarters (0.53m CHF) (Figure 4).

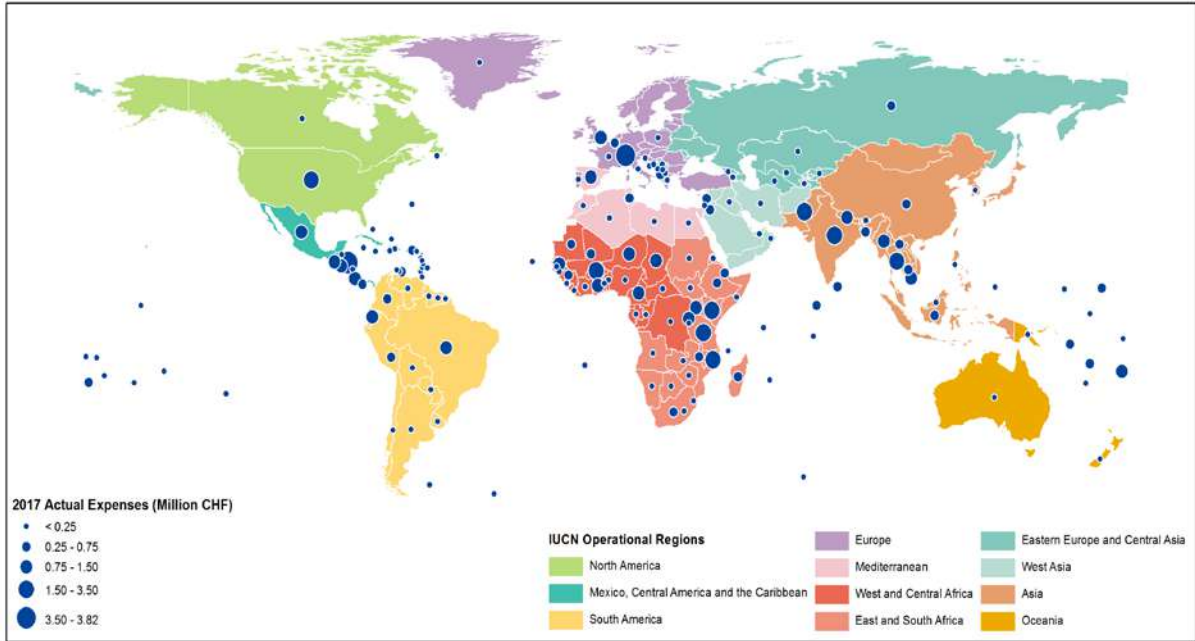
Table 7: Expenditure by location in 2017 (%)

	Expenditure	%
States	68,755,006	77%
Regions	8,333,533	9%
Global	12,530,879	14%
Total	89,619,418	100%

Source: IUCN Project Portal, April 2018

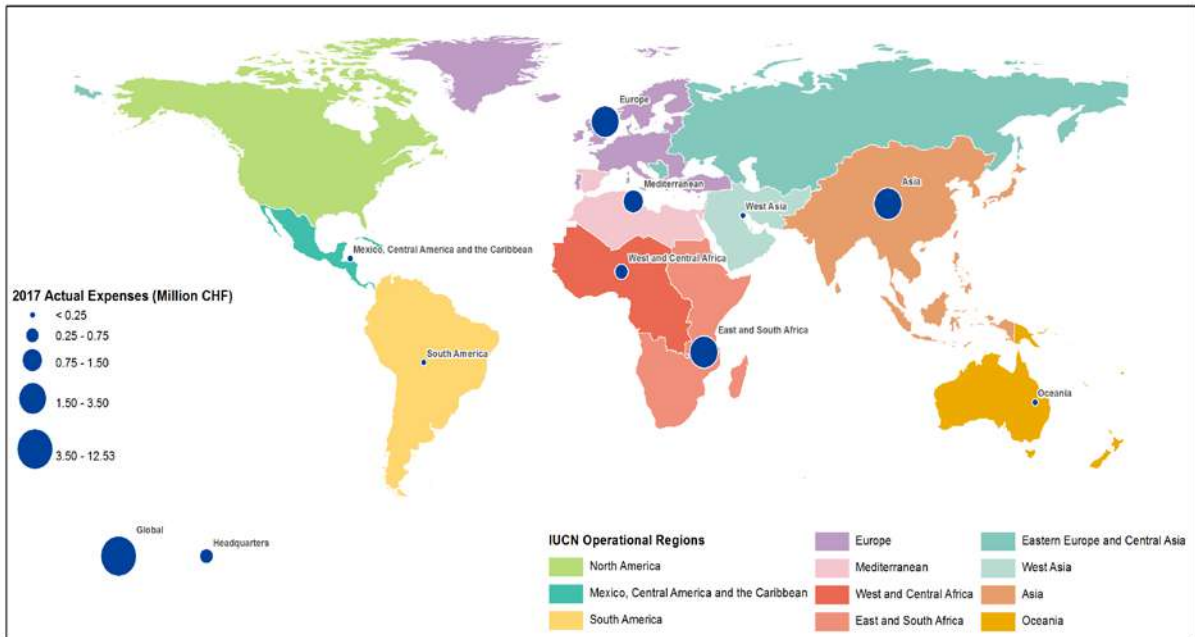
¹⁸ Switzerland/Headquarters was also among the States with highest level of expenditures (3.54m CHF) but the focus of this analysis is to show where IUCN implements projects in the field.

Figure 3: Actual expenses per Statutory State¹⁹



Disclaimer: Names, frontiers, boundaries and other designations of geographical entities used and shown on this map do not imply the expression of any opinion, official endorsement or acceptance by IUCN.

Figure 4: Actual expenses per Operational region²⁰



Disclaimer: Names, frontiers, boundaries and other designations of geographical entities used and shown on this map do not imply the expression of any opinion, official endorsement or acceptance by IUCN.

¹⁹ Figure 3 shows the actual expenses (million CHF) per Statutory State represented by the size of circles.

²⁰ Figure 4 shows the actual expenses (million CHF) per Operational Region. It includes HQ expenses as part of Europe. This will be reviewed in future reporting exercises. Expenditure for Eastern Europe and Central Asia is not recorded in this map as they are recorded at the Statutory State level.

b. Programme delivery model (grant making, global initiatives etc.)

2017 portfolio expenditure and the proportion of projects under each programme delivery category namely: generation and application of scientific knowledge, implementing agency, IUCN thematic initiatives, non-aligned stand-alone projects and programmatically-aligned single projects, confirmed a trend to implement thematic initiatives as opposed to programmatically-aligned single projects.

Table 8: % of portfolio value by delivery model 2016-2017²¹

Categories	Sum of total contract amount 2017 Budget (2016)	%	Sum of total contract amount 2018 Budget (2017)	%
Generation and direct application of scientific knowledge ²²	14,145,822	5%	14,697,994	4%
Implementing Agency ²³	63,379,405	22%	86,465,188	24%
IUCN Thematic Initiatives ²⁴	79,409,402	27%	126,099,463	34%
Non-aligned stand-alone projects ²⁵	4,529,077	2%	4,639,859	1%
Programmatically-aligned single projects ²⁶	132,546,642	45%	134,839,550	37%
Total	294,010,349	100%	366,742,054	100%

Source: IUCN Project Portal, April 2018

Annual expenditure also confirms the retail to wholesale trend (Tables 9, 10). Although the programmatically-aligned single projects remains the most representative category in terms of expenditure, this trend will continue to decrease, showing consistency with what was reported in the previous section (2.4.b) on the total portfolio value.

²¹ Table 8 uses budget data from the portal instead of expenditure data because the aim is to analyse the trends in the project portfolio at a specific point in time, in this case 31st December 2016 and 2017.

²² Initiatives that involve the development, maintenance and application of IUCN knowledge according to institutionally endorsed knowledge-related standards and procedures (e.g. ISTAP, Red List Standard, etc) and characterised by: a clear and prominent role for IUCN Commissions; the standard or procedure is curated by a single IUCN unit. Examples include the flagship knowledge products.

²³ The IUCN Secretariat's role is strongly defined in terms of "**implementation**", in other words it primarily focuses on the management, monitoring, and provision of technical and fiduciary quality assurance of work undertaken (executed) by third parties. Examples include Mangroves for the Future, Save Our Species, etc.

²⁴ The criteria for this type of initiatives include: a single "brand"; a common Theory of Change; shared higher-level objectives; multiple level and multiple country delivery; multiple cost centre implementation/ execution; multiple (donor) awards/ projects; typically the total value of **all associated grants** exceeds CHF 10 million (excluding leverage /co-finance).

²⁵ These projects or grants do neither clearly nor exclusively deliver against one or more of IUCN's intersessional targets. They should only ever make up a small proportion of any unit's portfolio. They are characterised by: implemented and executed by a single IUCN cost centre; a single donor award; involves activities outside IUCN's normal skills profile. Examples include Energy, Transport and built infrastructure, etc.

²⁶ Time-bound and immediately focused in terms of geographic or political outcomes (easy to understand as the archetypal standard project). Typical characteristics include: - aligned broadly with one or more IUCN intersessional targets; usually implemented and execution a single IUCN cost centre; a single (donor) award (though extension and second phases are possible). Examples include:

Table 9: % Annual expenditure by delivery model

	IUCN Thematic Initiatives	Implementing agencies	Generation and direct application of scientific knowledge	Programmatic ally-aligned single projects	Non-aligned stand-alone projects	Projects not categorised yet
Policy and Programme Group	20%	41%	1%	35%	3%	1%
Biodiversity Conservation Group	24%	37%	14%	23%	0%	2%
Nature-based Solutions Group	42%	16%	7%	34%	0%	1%
Regions	30%	14%	1%	52%	2%	1%
Global	31%	18%	4%	44%	2%	1%

Source: IUCN Project Portal, April 2018

Table 10: Annual expenditure by delivery model

	IUCN Thematic Initiatives CHF ('000)	Implementing agencies CHF ('000)	Generation and direct application of scientific knowledge CHF ('000)	Programmatic ally-aligned single projects CHF ('000)	Non-aligned stand-alone projects CHF ('000)	Projects not categorised yet CHF ('000)
Policy and Programme Group	533	1,072	15	904	70	22
Biodiversity Conservation Group	2,827	4,224	1,577	2,700	-	217
Nature-based Solutions Group	8,678	3,227	1,393	7,083	39	211
Regions	16,125	7,594	668	28,516	1,198	375
Global	28,153	16,117	3,747	39,350	1,401	851

Source: IUCN Project Portal, April 2018

Expenditure



c. Trends in grant-making

In 2017, IUCN continued strengthening its relationship with funding sources that work at scale and aims to develop the tracking of re-granting funds to IUCN Members, including State Members and Government Agencies, who are the main recipients of the Global Environment Facility (GEF) and the Green Climate Fund (GCF). Table 11 reports on the proportion of annual expenditure spent through our partners and grant recipients in 2017.

At the end of 2017, the GEF project portfolio included four projects underway worth USD 12.4 million (Table 12), including forest landscape restoration work with the UN Food and Agriculture Organization and UN Environment Programme, setting Land Degradation Neutrality Targets with the UN Convention to Combat Desertification, and developing solutions to safeguard global environmental commons.

After securing accreditation to the GCF in 2016, an emerging project portfolio was developed in 2017 including work on forest landscape restoration, coastal resilience and mangrove management, and sustainable watershed and dryland management (Table 13).

Table 11: Annual expenditure % spent through partners/grant recipients²⁷

	Total Spending CHF ('000)	Spent through partners/grant recipients CHF ('000)	Spent through partners/grant recipients %
Policy and Programme Group	2,616	-	0%
Biodiversity Conservation Group	11,545	2,316	20%
Nature-based Solutions Group	20,630	4,613	22%
Regions	54,476	8,645	16%
Global	89,619	15,574	17%

Source: IUCN Project Portal, April 2018

Expenditure



Table 12: GEF portfolio 2016-2017

	2016	2017	Change
Number of projects	4	5	+25%
Total grants (USD)	6,128,441	12,464,805	+103%

Table 13: GCF project portfolio 2016-2017

	2016	2017	Change
Number of projects	0	3	
Total grants (USD)	0	749,100 ²⁸	

d. Proportion of projects classified as programmatic initiative, knowledge and re-granting

The total number of projects per programme delivery category shows the decrease in number of the category of programmatically-aligned single projects, being consistent with previous sections of this report.

Table 14: Number and % of projects classified under the programme delivery categories²⁹

Categories	N° of projects 2017 Budget	%	N° of projects 2018 Budget	%
Generation and direct application of scientific knowledge	33	11%	20	8%
Implementing Agencies	45	15%	42	16%
IUCN Thematic Initiatives	36	12%	51	19%
Non-aligned stand-alone projects	17	6%	13	5%
Programmatically-aligned single projects	167	56%	135	52%
Total	298	100%	262	100%

Source: IUCN Project Portal, April 2018

²⁷ Table 11 tracks projects with sub-awards; these are resources spent through externals. IUCN total project expenditure spent through partners and grant recipients may display under reporting, see footnote 5.

²⁸ To date, the portfolio only includes feasibility and readiness studies to develop full proposals.

²⁹ Table 14 uses budget data from the portal instead of expenditure data because the aim is to analyse the trends in the project portfolio at a specific point in time, in this case 31st December 2016 and 2017.

3. Finance

In parallel to a healthy and expanding project portfolio, the organisation continued to transition towards restricted funding. Whilst total income (from membership dues, unrestricted funding as well as projects) declined slightly, with expected recovery in 2018, framework income declined by 11% and restricted or project funding declined by 3%. In terms of expenditure, IUCN showed strong contribution to the SDGs, the Aichi Targets and the Targets of the IUCN Programme 2017-2020, especially to the ones in which IUCN has built its niche.

a. Income

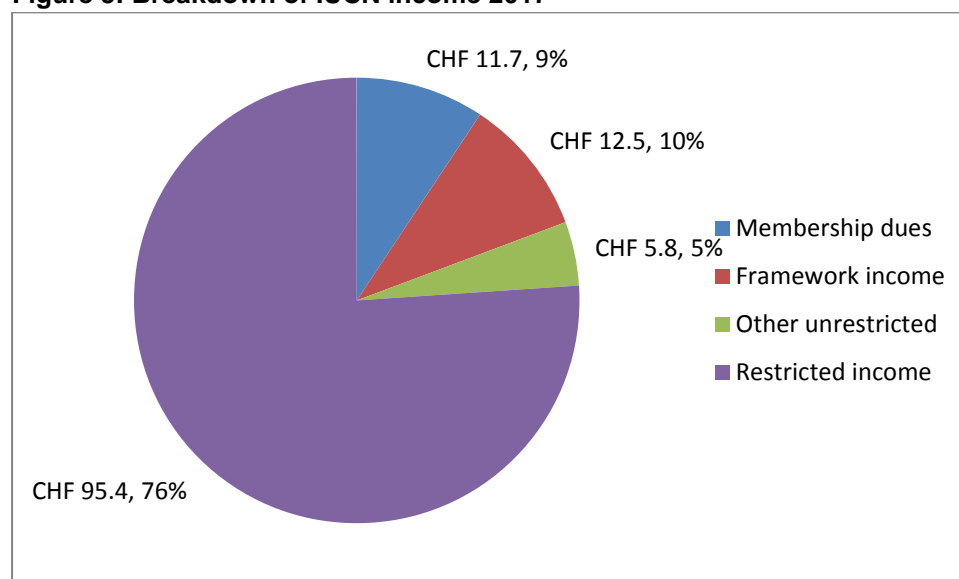
In line with the “lumpiness” of large project approvals, total income declined slightly in 2017 with an overall rising trend when viewed in longer time horizon Unrestricted income fell by 6% and restricted income fell by 3%. The decline in restricted income is expected to reverse in 2018 as a result of strong growth in IUCN's project portfolio. The decline in unrestricted income is expected to be more long term in nature. Unrestricted funding as a proportion of total funding remained constant at 24%.

Table 15: Total income 2017

	2016	2017	Change
	CHF m	CHF m	%
Membership dues	12.9	11.7	-10%
Framework income	13.9	12.5	-11%
Other unrestricted	4.9	5.8	16%
Total unrestricted	31.7	30.0	-6%
Restricted income	98.1	95.4	-3%
Total income	129.8	125.4	-4%
% unrestricted	24%	24%	

Source: Finance, April 2018

Figure 5: Breakdown of IUCN income 2017



Source: Finance, April 2018

Unrestricted income

Membership dues invoiced fell by 10%. This was a result of the rescission of Members at the 2016 Congress and the subsequent withdrawal of those Members that did not settle their outstanding dues.

Framework income declined by 11%. 2017 was the first year of the 4 year programme period and the year in which new agreements were signed with most framework partners. All contributions were from government agencies with the exception of the contribution from MAVA, a foundation.

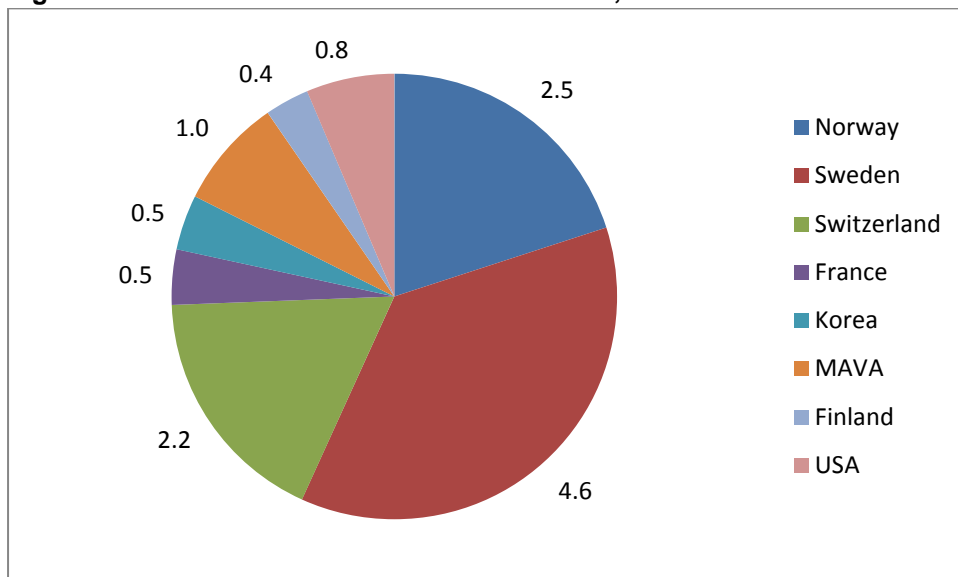
Table 16: Framework income 2017

Framework partner	2016	2017	Change
	CHF m	CHF m	
Denmark	3.5	0.0	-100%
Norway	2.5	2.5	-
Sweden	2.9	4.6	+58%
Switzerland	2.1	2.2	+4%
France	0.9	0.5	-44%
Korea	0.6	0.5	-17%
MAVA	1.0	1.0	-
Finland	0.4	0.4	-
USA	0.0	0.8	-
Total	13.9	12.5	-

Source: Finance, April 2018

Moving towards restricted funding. Denmark ceased contributing as a framework partner, preferring to provide restricted funding. Sweden increased its contribution whereas other donors maintained their contributions at a level similar to that of 2016. France signed an umbrella agreement in 2017 for both restricted and unrestricted funding with the detailed sub-agreement signed by AFD in 2018 thus leading to the unrestricted income to be recognised in that year. The 2017 contribution from France represents the in kind value of seconded staff. The contribution from the US is programmatically restricted. This was treated as restricted income in 2016 and hence the comparative reads zero.

Figure 6: Breakdown of framework income 2017, CHFm



Source: Finance, April 2018

Other unrestricted income increased by 16% to CHF 5.8m as a result of a significant increase in contributions from IUCN Patrons of Nature.

Core income allocations and project funds leveraged. CHF 13.3m of core funds were allocated to regional and global programmes which leveraged CHF 89.4m in project income/expenditure. The overall leverage ratio in 2017 was 6.7 compared to 6.1 in 2016.

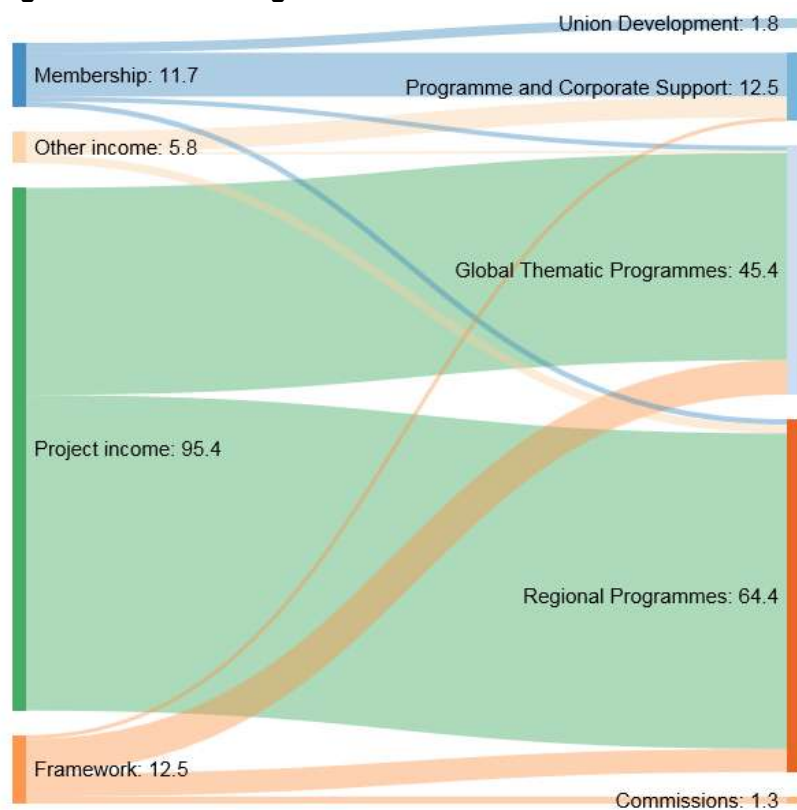
Table 17: Framework allocations and project funds leveraged in 2017

	2016			2017		
	Core income allocated	Project expenditure	Leverage ratio	Core income allocated	Project expenditure	Leverage ratio
	CHF m	CHF m		CHF m	CHF m	
Regional Programmes	5.9	54.7	9.3	5.2	54.0	10.4
Policy and Programme Group	3.0	2.5	0.8	3.2	3.0	0.9
Biodiversity and Conservation Group	2.5	10.1	4.0	2.3	11.8	5.2
Nature-based Solutions Group	3.1	20.9	6.7	2.6	20.7	8.0
Total Global Programmes	8.7	33.4	3.9	8.1	35.4	4.4
Total	14.5	88.1	6.1	13.3	89.4	6.7

Source: Finance, April 2018

In 2017 Framework income was allocated almost entirely to Regional and Global Programmes and Commissions. Membership dues income is allocated to Union Development, Programme and Corporate Support and regional programmes not entitled to receive ODA funding (Europe and North America). Other unrestricted income is allocated entirely to Programme and Corporate Support. The below Sankey diagram illustrates which funding source funds which costs






Figure 7: IUCN funding flows in 2017



Source: Finance, April 2018

In 2017, 20% of total spending was spent through internal agreements. An internal agreement is an agreement between IUCN Units for implementing a portion of a project, usually a field component. Tracking internal agreements is a proxy to assess the flow of funds from global programmes to regions, between regions and between global programmes. In 2017, the Nature-based Solutions Group played a leading role in this process by allocating to other Groups and Regions more than a third of its resources for this purpose.

Table 18: Expenditure spent through Internal Agreements in 2017

	Total Spending CHF ('000)	Spent through Internal Agreements CHF ('000)	Spent through Internal Agreements %
Policy and Programme Group	1,904	300	 16%
Biodiversity Conservation Group	12,066	1,933	 16%
Nature-based Solutions Group	27,916	9,739	 35%
Regions	46,860	5,345	 11%
Global	89,619	18,051	 20%

Source: Finance, April 2018

b. Expenditure

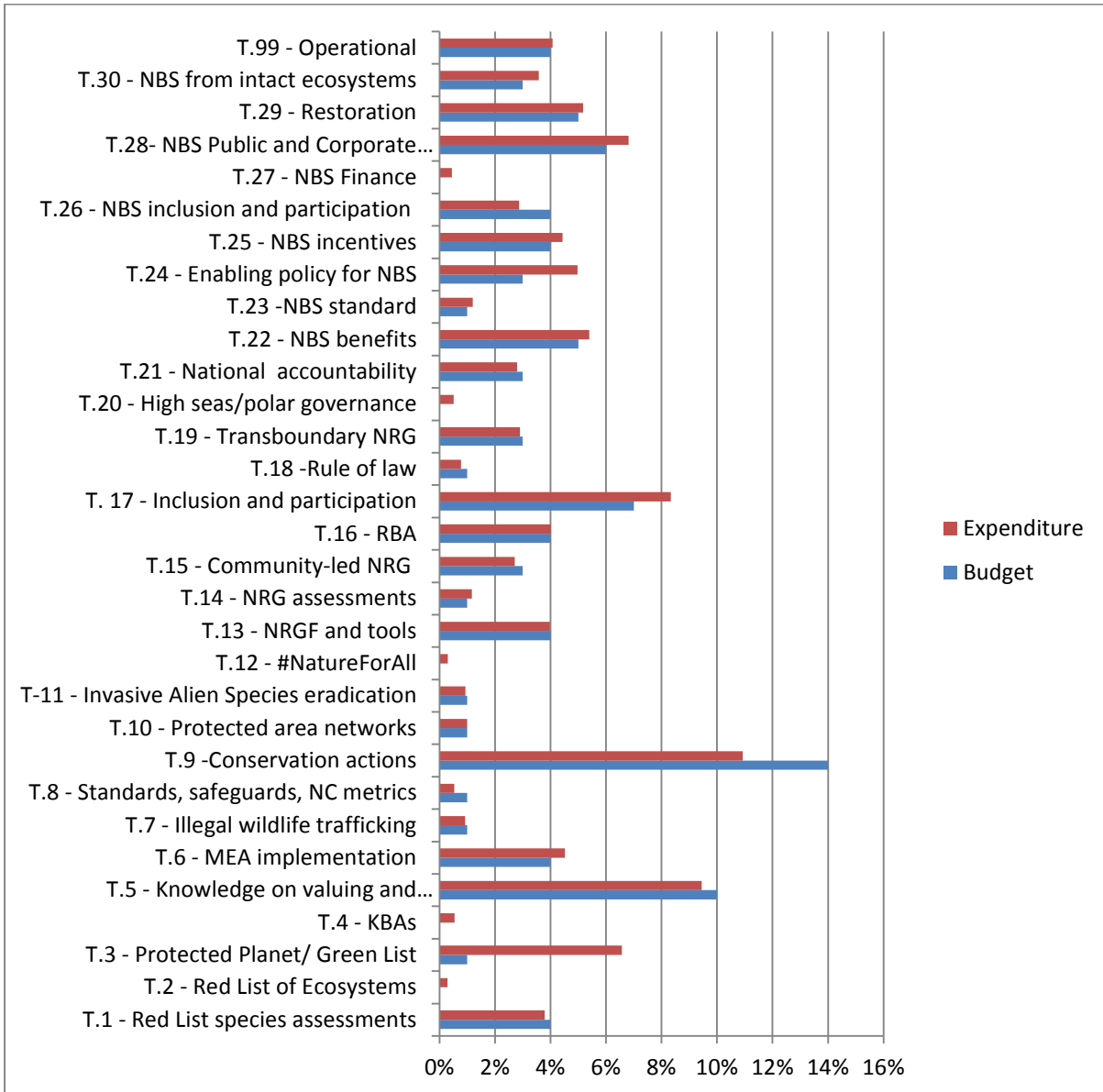
In 2017 IUCN showed strong contribution to the Targets of the IUCN Programme 2017-2020, the SDGs and the Aichi Targets. Budget and expenditure numbers remain consistent across these three frameworks, showing the strong commitment and tangible delivery. IUCN tends to focus its efforts in the delivery of specific goals and targets that converge with the Union's niche.

The IUCN Portfolio mapped against the IUCN Programme 2017-2020

In 2017, most resources were spent under the Programme Area on Valuing and Conserving Nature (Targets 1-12), strong in the generation of knowledge and implementation of conservation actions.

Expenditure was well spread across all Targets of the IUCN Programme; 70% of Targets have an expenditure below 5% which shows a dispersed distribution of expenditure compared to the Targets with highest expenditure.

Figure 8: 2017 Budget and Expenditure by IUCN Programme Target³⁰



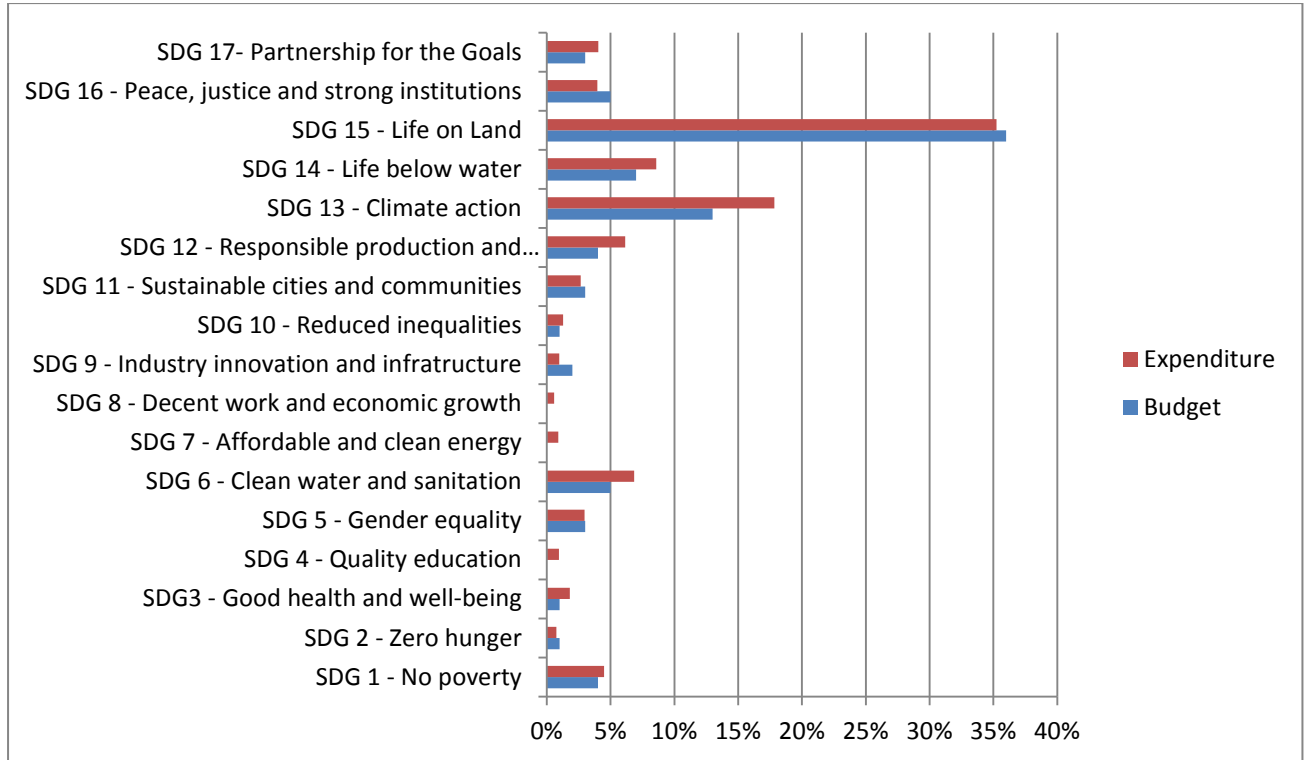
Source: IUCN Project Portal and Finance, April 2018

³⁰ Budget numbers were extracted from the Project Portal and expenditure numbers from the financial system. T99 is an Operational Target used to record contributions for support functions, not directly linked to programme delivery.

IUCN and the Sustainable Development Goals

In 2017 IUCN showed strong contribution to the biodiversity and climate-related goals. Similarly, 70% of the Goals have an expenditure below 5%, which reveals a dispersed distribution of expenditure compared to the Goals with highest expenditure. Budget and expenditure numbers were consistent in 2017.

Figure 9: 2017 Budget and Expenditure by SDGs

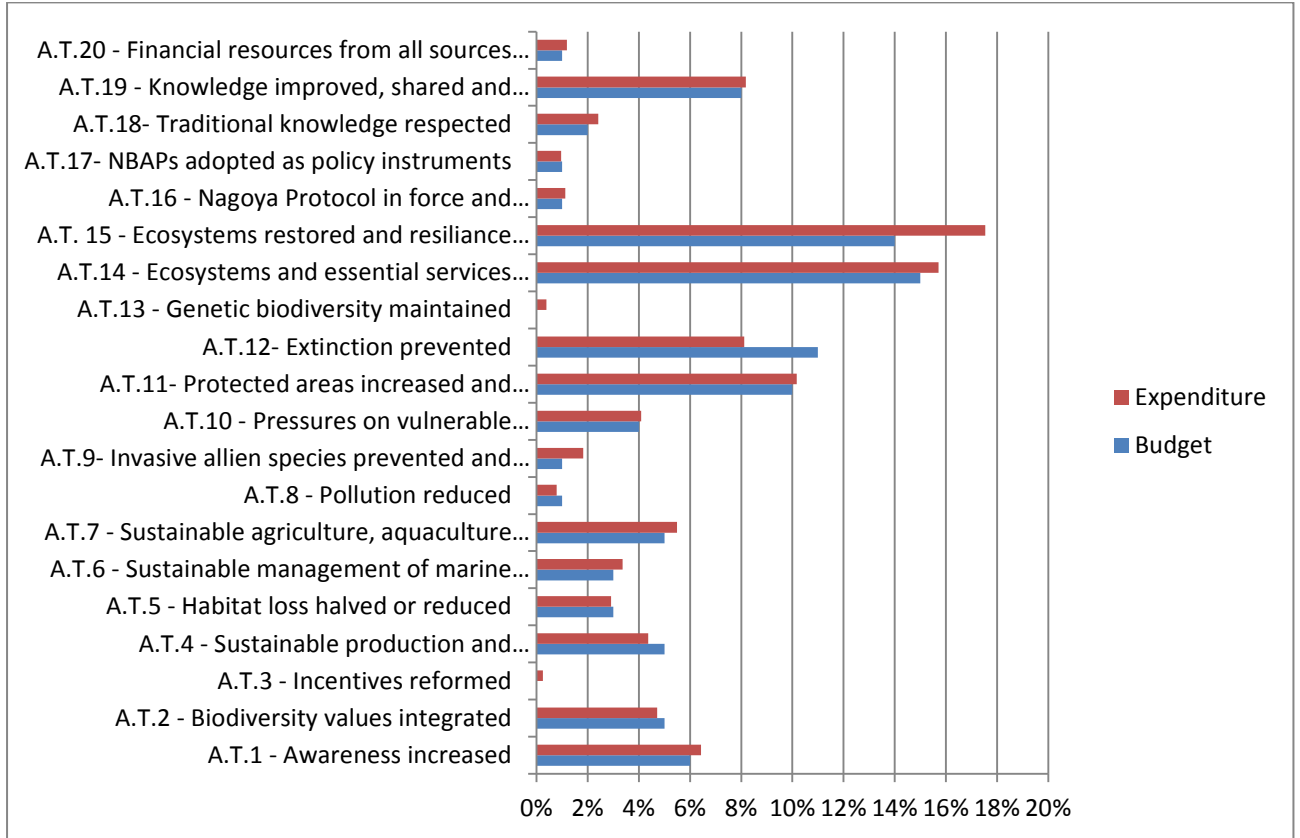


Source: IUCN Project Portal and Finance, April 2018

IUCN and the Aichi Targets

Expenditure was dispersed across all Aichi Targets; 60% of the Targets have expenditure below 5%. Budget and expenditure numbers are consistent.

Figure 10: 2017 Budget and Expenditure by Aichi Targets



Source: IUCN Project Portal and Finance, April 2018

c. Efficiency

Efficiency as measured by the level of indirect costs decreased from 16.6% to 17.3%.³¹ Efficiency is measured as a % of indirect costs over total costs. Indirect costs include Finance, HR, IT and Administration costs as well as management and governance costs and the functions of Oversight and Legal advice. Costs related to Planning, Monitoring and Evaluation; Communications; Union Development; Strategic Partnerships; and Programme Coordination are not included in this measure as they are more programmatic in nature. The level of indirect costs remained constant but increased as a % in 2017 as a result of a decline in overall expenditure.

Table 19: Level of indirect costs compared to total expenditure

	2016	2017
	CHF m	CHF m
Total costs	130	124.3
Indirect costs	21.6	21.5
% of indirect costs	16.6%	17.3%

Source: Finance, April 2018

d. Progression against 4y financial plan

Performance is generally in line with the 4 year Financial Plan approved at the 2016 Congress. Unrestricted income was CHF 1.0m ahead of plan, whereas project income was CHF 8.6m below plan for the reasons noted in e) Budget performance below.

Table 20: Progression against 4y plan in 2017

	2017	2017	2018	2019	2020
	Plan	Actual	Plan	Plan	Plan
	CHF m	CHF m	CHF m	CHF m	CHF m
Unrestricted income					
Membership dues	12	11.7	13	13	13
Framework income	12	12.5	10	10	10
Other unrestricted income	5	5.8	5	6	6
Total unrestricted income	29	30.0	28	29	29
Restricted income					
Programme/project income	104	95.1	109	120	129
Other restricted income	0	0.3	0	0	0
Total restricted income	104	95.4	109	120	129
Total income	133	125.4	137	149	158
Expenditure					
Core expenditure	29	28.9	28	28	28
Programme/project expenditure	104	95.4	109	120	129
Total expenditure	133	124.3	137	148	157
Surplus/(deficit)	0	1.1	0	1	1
Transfer to designated reserves	0	1.2	0	0	0
Result for the year	0	-0.1	0	1	1

Source: Finance, April 2018

³¹ Costs that cannot be directly attributed to a programme, project or other activity but which are essentially for the performance of the activity.

e. Budget performance – annual plan

The overall result for the year was a deficit of CHF 0.1m compared to a budgeted deficit of CHF 2.0m. The 2017 budget included organisational change costs of CHF 2.0m. Actual change costs were CHF 1.0, primarily due to unused provisions for redundancy. Framework income was also higher than budget and this contributed to the positive result. Project income and expenditure was, however, significantly below budget at 76% of budget. Although the project portfolio is generally strong, there were delays in the finalisation of new project agreements and the start of project activities.

Table 21: Budget performance in 2017

	2017	2017	2017
	Budget	Actual	Variance
	CHF m	CHF m	CHF m
Unrestricted income			
Membership dues	12.0	11.7	-0.3
Framework income	11.4	12.5	1.1
Other unrestricted income	4.9	5.8	0.9
Total unrestricted income	28.3	30.0	1.7
Restricted income			
Programme/project income	119.5	95.1	-24.4
Other restricted income	0.0	0.3	0.3
Total restricted income	119.5	95.4	-24.1
Total income	147.8	125.4	-22.4
Expenditure			
Core expenditure	29.7	28.9	-0.8
Programme/project expenditure	119.5	95.4	-24.1
Total expenditure	149.2	124.3	-24.9
Surplus/(deficit)	-1.4	1.1	2.5
Transfer to designated reserves	0.6	1.2	0.6
Result for the year	-2.0	-0.1	1.9

Source: Finance, April 2018

4. Organizational

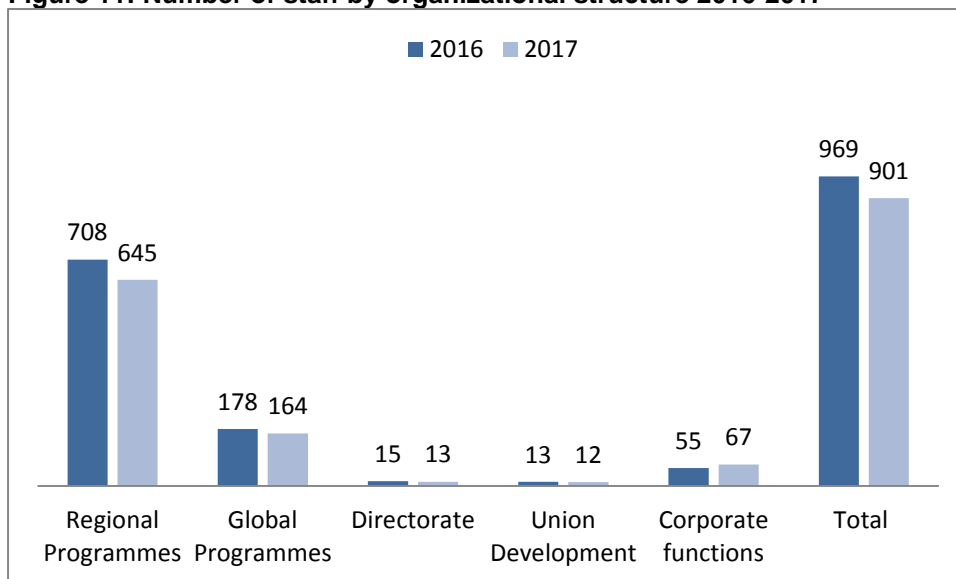
In 2017, IUCN showed deliberate and demonstrable steps to moving gender equality forward in the organisation. This included active participation and commitment to the International Gender Champions initiative. Progress was also achieved in the development of a ‘gender and environment’ guidance to mainstream gender across operations. As in many other organisations, challenges remain however, including the proportion of women in management positions which remain low. More generally, staffing numbers remained stable in 2017. The results of the annual staff survey were also overwhelmingly positive, with some significant progress made in a number of key domains. In addition to these people development and organisational culture issues, strong progress was made in the implementation of the wider organizational change process towards a relevant and stable IUCN, initiated in late 2016.

a. Human resources

Staffing numbers remained stable in 2017 (Figure 11) and the turnover was 2.6%.³² The Secretariat continues to pursue a proactive diversity policy, seeking to enhance diversity and gender balance in the Secretariat staffing cadres. 101 nationalities are represented in the workforce, 70% from developing countries.

In terms of gender, 47% of the total workforce is female, while 53% is male. However, the number of women in management positions remains low for senior management (Figure 11 and 12).

Figure 11: Number of staff by organizational structure 2016-2017³³



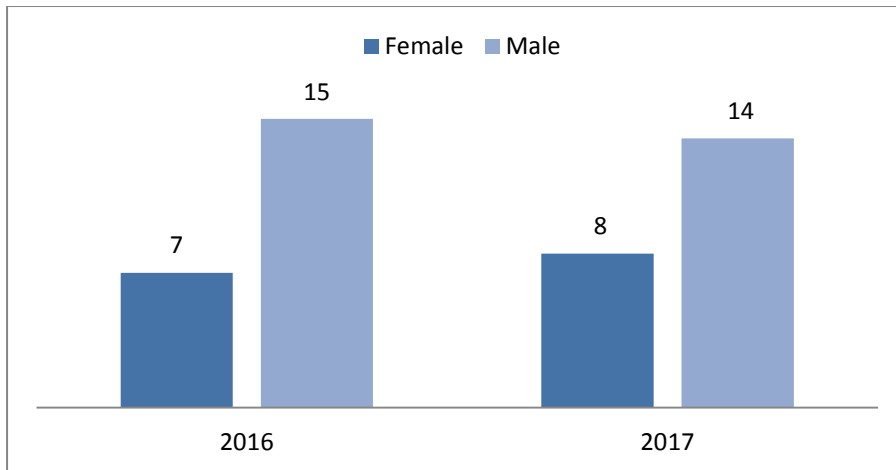
Source: Human Resources, January 2018

In 2017, progress was made in the development of the gender and environment ‘101’ online course which will soon be released. The first module of the course will provide an introduction to the gender-and-environment nexus, including case studies across a range of thematic areas, which highlight the value of taking a gender-responsive approach in sustainable development.

³² The number of staff in corporate functions increased as a result of the set-up of the Global Programme Operations Unit and the transfer of staff from Global Programmes to that unit.

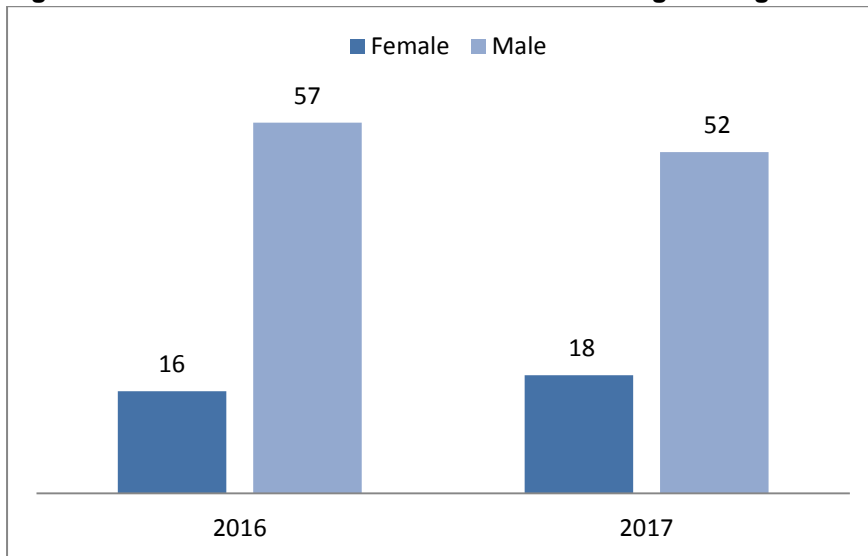
³³ Full-time equivalent positions

Figure 12: Number of women and men in the Leadership Team



Source: Human Resources, January 2018

Figure 13: Number of women and men with a management grade



Source: Human Resources, January 2018

Implementation of a number of HR initiatives continues:

- **Competency Framework:** Competency-based recruitment, performance management, career development and succession planning.
- **Career Development Framework:** Business-driven, merit based development opportunities, including functional and/or geographical mobility, predicated on clear criteria and budget affordability.
- **Leadership Development Programme:** First-ever systematic, periodic training programme for current Managers and Directors on the fundamentals of Leadership and People Management.
- **Performance Management:** Transition to a cloud-based Performance Management system. Reformulated annual Work Plan design, performance ratings and linkages to salary reviews and promotion eligibility.
- **Staff Compensation:** Anchored on prevailing market practices and annual labour market surveys. Linked to individual performance ratings and budget affordability.

The 2017 Pulse Survey displayed strong participation and positive responses in priority areas identified in 2016. The survey had a participation rate of 75%. A comparison with the 2016 survey indicates that discretionary effort (75 to 86%) and values/culture (70 to 72%) are scored even higher for 2017. Looking at previously identified weaknesses, compensation & recognition (from 29 to 42%) and especially leadership (from 36 to 59%) show significant improvements. The survey also displays strong results for Employee Engagement (“I would recommend IUCN to others as a good place to work”).

b. Risk control management

Over 2016-2017, the organisation paid increasing attention to risk and risk management and 2018 should see the formalisation of a risk management framework. During that period, Council focused a number of its sessions to the identification of strategic risks. It had previously approved, at its 88th meeting in April 2016, an Annotated Strategic Planning and Reporting Framework which includes a dimension on strategic risk. Throughout 2017, the Leadership Team also dedicated a number of its sessions to risk management and internal controls. In parallel, the organisation also increased its understanding of and reliance on project risk management.

A significant milestone has been reached with the **development of an Enterprise Risk Management Policy along with a Risk Appetite Statement.** Both documents have been submitted to Council for approval at its 94th meeting. In November 2017, the Policy was released as an exposure draft. The Policy constitutes a first attempt at formalising Enterprise Risk Management and follows best practice of other organisations as well as relevant standards, notably ISO 31000-Risk Management.

The policy is to drive effective and accountable decision making and management practice by committing IUCN to ensuring that Enterprise Risk Management practices are consistently applied to its processes and operations. In connection to this development, in 2017 the remit of the Planning, Monitoring & Evaluation Unit expanded to explicitly include Risk Management. The Unit will be charged with the roll-out and implementation of enterprise risk management. A key determinant in this regard will be ensuring that the organisation invests in enterprise risk management, including software.

The development of the Enterprise Risk Management framework has, in of itself, also been an opportunity to raise awareness of staff on various dimensions of risk. For instance, the Director General issued administrative instructions on the imperative of IUCN setting the tone from the top on zero tolerance of fraud and corruption, in line with the organisation's Anti-Fraud Policy. In the context of media stories on sexual abuse in the aid sector, the Director General also issued administrative instructions reminding of IUCN's zero tolerance of bullying, harassment - sexual or otherwise -, abuse and retaliation, in line with the organisation's Code of Conduct.

Developments in 2017 set the course for more deliberate risk control management by Senior Management and oversight bodies. Future reporting exercises will therefore be able to provide, in particular, metrics such as % of offices carrying out effective operational risk assessments, including fraud risk; % of offices carrying out project risk assessments, including fraud risk and % of offices carrying out effective risk-control self-assessments and submitting an Assurance Statement for Internal Control as envisaged in the Annual Reporting Framework.

c. Organizational change

In 2017, IUCN continued to re-evaluate and improve Secretariat functions – a process initiated in 2015. This included putting in place standardised approaches to improve operational effectiveness, cost recovery from projects, fundraising and programme delivery. A ‘Global Programme Operations Unit’ and service hubs for finance, human resources and information systems were established in Bangkok and Costa Rica to ensure a consistent and efficient implementation of processes in IUCN Headquarters and across its regional offices. New systems-related enhancements will help increase automation and improve efficiency in staff-time management, contract management and travel, and procurement processes. Reforms to programme delivery were introduced to consolidate thematic

programmes worldwide, enhance coherence across IUCN's Secretariat, Members and Commissions, and maximise IUCN's impact globally.

d. Compliance with project management procedures

Steady progress in the implementation of IUCN's Environmental and Social Management System (ESMS). Since June 2016 the application of the ESMS is mandatory for all IUCN projects, including GEF & GCF projects for which safeguards is an explicit requirement. In total, **50 projects have been screened** and screening reports produced: 11 projects in 2015, 12 projects in 2016 and 27 projects in 2017 (see table below for detailed breakdown); risk levels: 24 moderate and 26 low risk projects. Monitoring compliance with ESMS procedures (checking whether all projects above CHF 500k were submitted for screening and analysing quality of self-assessments for projects below 500k) can be done effectively only when the online-PAAS system is operational in the Project Portal (Screening Reports have been uploaded).

Table 22: Overview Results ESMS Screening 2015-2017

	Total (portfolio)	Year			Risk level		
		2015	2016	2017	low	mod.	high
IUCN portfolio	25	0	7	18	20	5	0
GEF	11	1	5	5	6	5	0
GCF	2	0	0	2	0	2	0
ITHCP	12	10	0	2	0	12	0
Total	50	11	12	27	26	24	0

Source: IUCN's ESMS Report, February 2018

ESMS has been validated by GEF and GCF as part of accreditation process and most recently also by KfW who contracted a consulting firm for a benchmark study with view of using the ESMS as risk management framework for KfW-funded conservation projects.³⁴

The use of the Project Appraisal and Approval System (PAAS) was reported on the 2017 manager scorecard and revealed that 61% of the new projects in 2017 complied with the internal approval system. This was the first year that this metric was applied and the lessons learned from reviewing early use of PAAS are now shaping revisions to the guidance, process and tools. The online PAAS workflow that will be active by the end of 2018 will significantly improve the ability to monitor the use of PAAS in real-time and together these adjustments are expected to improve the rate of compliance, and in turn, the quality of project design.

e. Follow-up on External Reviews

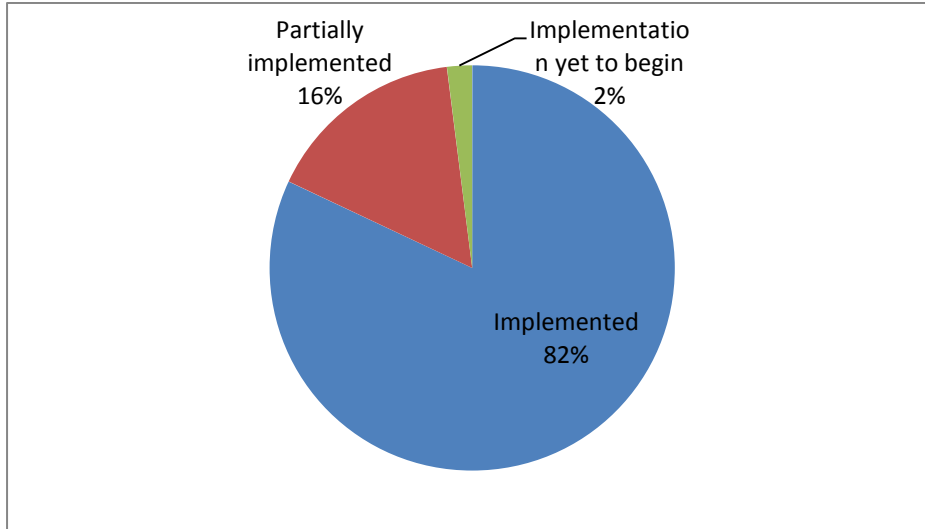
The External Review (2015) has provided input into IUCN's organizational change process. Many of the External Review recommendations have been superseded by the analysis and actions implemented as a result of the organizational change process, initiated by IUCN in late 2016 (Section 4c Organizational change). Nonetheless, IUCN remains committed to follow up the key actions it identified in its [Management Response](#) to the report.

In 2017, 82% of the key actions planned have been implemented or practiced, 16% were partially implemented, and 2% (one action) were not yet implemented. Details are available in Annex E. Good progress has been made towards all of the actions that remain "partially implemented" and these are expected to be achieved by the end of the quadrennium.

³⁴ ERM GmbH, IUCN Environmental and Social Management System, Gap Analysis against World Bank Safeguards, October 27, 2017 (informally shared by the Executive Director of the Blue Action Fund)

Key milestones to strengthen the work of Commissions and Members include: the creation of a new Commission Support Unit which provides coordinated administrative support to all Commissions; a new planning and reporting template for all Commissions for the annual work plan; new Commission Financial Reporting rules; the creation of new categories of Membership for Indigenous Peoples' Organizations which allowed 17 Indigenous Peoples' Organizations to become Members of IUCN; and the recognition of IUCN's role to convene the Rio Doce Panel, which is now in place and has started to provide guidance to the Renova Foundation (for more information click [here](#)).

Figure 14: Key actions of the External Review in 2017



Source: PMER, April 2018

5. Governance

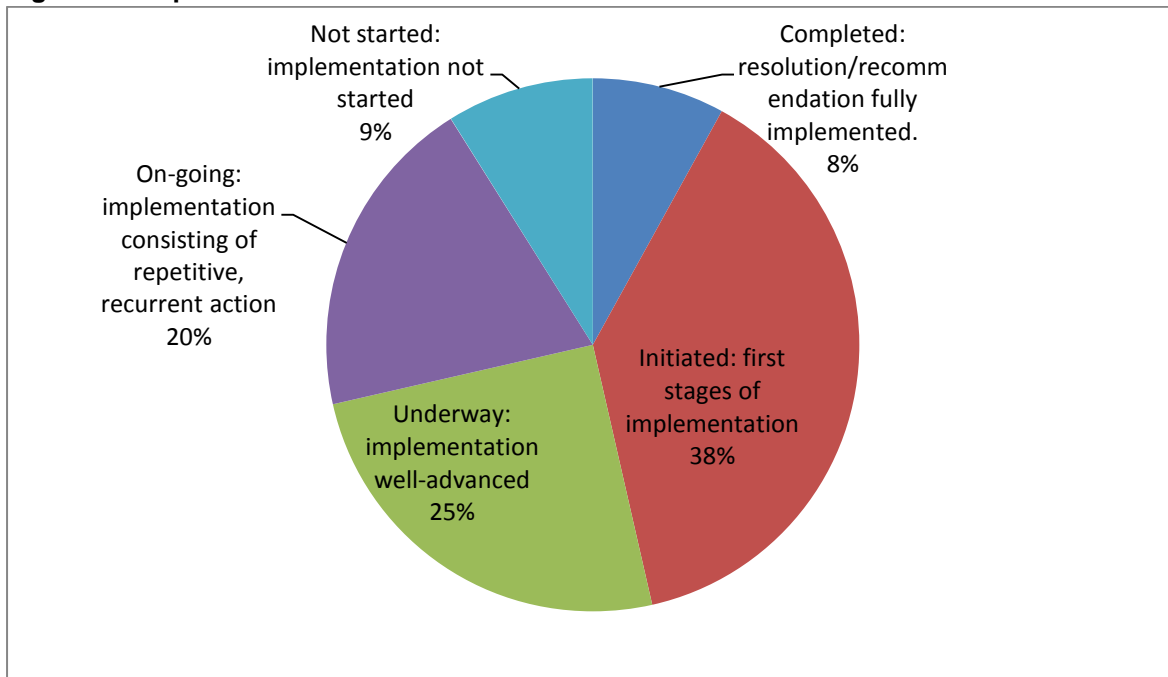
In 2017, there was overall good progress in key governance processes, including the implementation of 83% of the IUCN Resolutions and Recommendations of the World Conservation Congress 2016 and 73% of enhanced practices and reforms of IUCN's governance.

a. Congress resolutions

There was **good progress in the implementation of IUCN Resolutions and Recommendations from Hawai'i, 2016**: 83% of resolutions were implemented in 2017, from which 45% were in an advanced stage of implementation (underway/ongoing); 8% were completed and for 9% implementation has not yet started, but for some of these, necessary actions have been planned. For the detailed report on the Status of implementation of Resolutions and Recommendations adopted at the World Conservation Congress in Hawai'i, please refer to Council Document C/94/PPC/2.1

Challenges that hinder implementation include: the lack or insufficient funding to fully implement the Resolutions; insufficient coordination or commitment of the actors involved; missing political willingness of external actors to adopt practices called for in the Resolutions/Recommendations; or a mismatch between the topic of the Resolution and current IUCN or Commission work programmes.

Figure 15: Implementation of IUCN Resolutions and Recommendations from Hawai'i



Source: Global Policy Unit, April 2018

b. Council

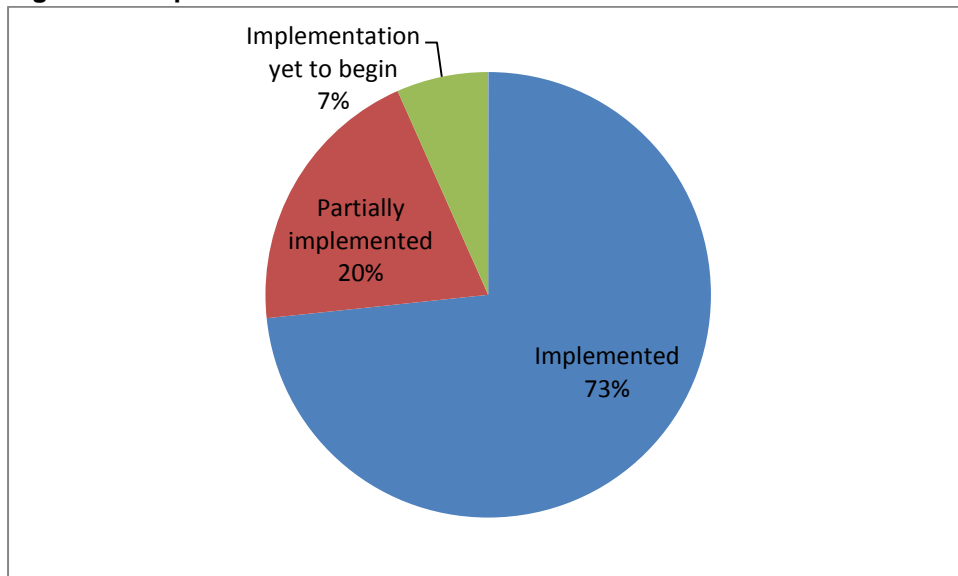
In 2017 there was steady progress in the implementation of “Enhanced practices and reforms of IUCN’s governance”³⁵ (C/88/7, Annex 2, pp. 21-34).

Out of 45 agreed practices and reforms, 33 are being implemented or practised; 9 are partially being implemented or there are pending actions or decisions to enable implementation; and for 3 implementation has not yet began. The practices and reforms fall under the following categories: Council structure, size and composition; Effective Functioning of Council; Oversight and reviews; and Transparency and independence.

In 2017, out of 45 agreed practices and reforms, 33) were being implemented; 20% (9) were partially being implemented or there were pending actions or decisions to enable implementation; and for 3% implementation is yet to begin. The practices and reforms fall under the following categories: Council structure, size and composition; Effective Functioning of Council; Oversight and reviews; and Transparency and independence.

³⁵ https://www.iucn.org/sites/dev/files/gcc_ppc_fac.pdf

Figure 16: Implementation of the "Enhanced Practices and reforms of IUCN's governance"



Source: Governance Unit, December 2017

6. Closing Considerations

As IUCN advances in the implementation of the IUCN Programme 2017-2020, it will continue to align its operations with industry standards. The implementation of the Enterprise Risk Management Policy will in particular help drive effective and accountable decision making.

Over the last couple of years, the organisation has invested in the development of a project management information system. This provides project managers as well as Senior Management with standardised analytics on the state of the project portfolio.

The Project Portal is now fully integrated into day-to-day operations and has become central to regular budgeting and operational cycles. Over the remainder of the 2017-2020 cycle, IUCN will continue to work, in particular, on improving the quality of data entered in the Portal so as to refine and further improve the reliability of reporting on progress in Programme delivery.

With this in mind, and starting in Q1 2018, project managers are validating project data in the Project Portal on a quarterly basis. This move will help ensure that data remains complete and up-to-date. It also lessens the burden of recurrent reporting exercises, including for the Annual Report, Annual Work Plan and Finance updates. The move also allows for the development of management scorecards, providing Project Managers and Senior Managers with real-time information on the state of health of the project portfolio.

Early lessons learnt from implementing the current monitoring framework, as supported in particular by Project Portal data, should also help guide the development of the IUCN Programme 2021-2024. Consideration should be given to reviewing these so as to ensure that the new Programme rests on a robust monitoring framework as well as clear baselines. Such considerations will further enable to identify key achievements and demonstrate value for money in investing in nature conservation and the organisation.

Annex A - Summary table of the Annual Reporting Framework 2017-2020

Section #	Section title	Content overview	Indicators	Data Source
1	Key achievements	3-5 outcome stories of global relevance		Leadership Team, IUCN evaluations and mid-term reviews
2.1	Progress in implementing the IUCN Programme 2017-2020	Traffic light to assess progress towards the achievement of the IUCN's 30 Targets	Output and result indicators of the IUCN Programme 2017-2020	Indicator Champions, IUCN Programme and Project Portal, ECOLEX and other global data sources (impact indicators).
2.2	Deviations	Narrative		Based on traffic light assessment
2.3	One Programme Engagement	a. Engagement	Extent of project engagement of Members, Commissions, Committees	IUCN Programme & Project Portal
		b. Demand responsiveness to State and government agencies	Extent of project engagement of State and government agencies and donor satisfaction	IUCN Programme & Project Portal and project and organizational evaluations, as relevant
		c. Flow of resources to Members and Commission members	CHF disbursed to Members and Commission members through contracts and grants	Finance
			CHF disbursed to other partners	Finance
		d. Membership numbers and geographical presence	Number of Members by category; growth in each category and a world map that shows their location	Constituency Relationship Management (CRM) System / Project Portal
2.4	Programme delivery models	a. Number and size of the active project portfolio	Trends of active projects under implementation (% of national, regional and global projects) and a world map that shows their location	IUCN Programme & Project Portal
			Evolution of mean; median value of projects	IUCN Programme & Project Portal
		b. Programme delivery model (grant making, global initiatives etc.)	% of portfolio value by delivery model; % of annual expenditure by delivery model	IUCN Programme & Project Portal
		c. Trends in grant-making (GEF/GCF, SOS, ITHP, BEST, MFF, etc.)	% of project expenditure spent through partners/grant recipients	IUCN Programme & Project Portal
		d. Trends in programmatic coherence and alignment of active projects	Proportion of project portfolio classified as programmatic initiative, knowledge and regranting	IUCN Programme & Project Portal
3.	Finance	a. Income	Trends in income sources: membership, framework, other unrestricted, restricted.	Finance
			Framework allocations by programme area and region and restricted funding leveraged.	
			Flow of funds from global to regional programmes and vice versa	
		b. Expenditure	Expenditure by Programme Areas, IUCN Targets, SDGs, Aichi & geography	IUCN Programme & Project Portal

Section #	Section title	Content overview	Indicators	Data Source
		c. Efficiency	Cost analysis: Change in indirect costs as a % of total costs	Finance
		d. Progression against 4y financial plan	Income, expenditure, portfolio growth	Finance
		e. Budget performance – annual plan	Actual income and expenditure vs annual budget	Finance
4	Organizational	a. Human resources	Number of staff and breakdown by structure, gender and nationalities	Human Resources
			Percentage of staff completing gender and environment '101' online course; Percentage of women in the Leadership Team and managerial positions; Percentage of staff turnover;	Human Resources
			Update on HR procedures including: - Competency framework - Career development framework - Leadership development programme - Performance management - Staff compensation	Human Resources
		b. Risk control management	% of offices carrying out effective operational risk assessments, including fraud risk ³⁶	Planning, Monitoring, Evaluation and Risk (PME&R)
			% of offices carrying out project risk assessments, including fraud risk	PME&R
			% of offices carrying out effective risk-control self-assessments and submitting an Assurance Statement for Internal Control	Finance
		c. Organizational change (ongoing administrative improvements) & System/process improvements	Update on progress on the implementation of work packages	Director General Office
	d. compliance with project management procedures	Number of projects compliant with core IUCN project procedures (Project Appraisal and Approval and Environmental and Social Management System)	IUCN Programme & Project Portal	
	e. Follow-up on External Reviews	Progress on key actions planned, as described in Management Response	Based on traffic light assessment Planning, Monitoring, Evaluation and Risk (PME&R)	
5.	Governance	a. Congress resolutions	Implementation rate of the WCC 2016 resolutions	Global Policy Unit
		b. Council	Implementation rate of the 2016 governance reforms	Governance Unit

³⁶ Definition of "offices" is Regional Offices, Global Programmes and HQ Corporate Services.

Annex B - Technical note of the Annual Report 2017

This note explains the methodology for each sections of the report and provides insights as to how these sections are to be strengthened in future reporting exercises.

Section #	Section title	Content overview	Indicators	Data Source	Comment
1	Key achievements	3-5 outcome stories of global relevance	N/A	IUCN Programme Units and Regions	A template was initially developed to collect outcome stories. This will be further refined, with a view to achieving plain English, evidence of outcomes and/or impact beyond individual projects, use of infographics.
2.1	Progress in implementing the IUCN Programme 2017-2020	Traffic light to assess progress towards the achievement of the IUCN's 30 Targets	Output and result indicators of the IUCN Programme 2017-2020	Indicator Champions, IUCN Programme and Project Portal, ECOLEX and other global data sources (impact indicators).	<p>A complete monitoring framework including baselines and 2020 targets was put in place by the end of 2017. The framework has 30 Targets and 55 indicators. Each Target has one or more indicators. A "traffic light" system is used to assess progress towards the 2020 targets. For the Targets with more than one indicator, the update in the traffic light assessment provides the average measure.</p> <p>Future exercises will work on further improving data quality.</p>
2.2	Deviations	Narrative		<p>Based on traffic light assessment</p> <p>Only consider deviations below 25%; need to explain why this is happening</p>	<p>The deviations section covers indicators that did not reach the 25% threshold of progress during the first year of programme implementation. The main aim of this section is to provide a justification why there has been apparent low progress and list corrective measures that have been adopted. This section was developed with the indicator champions.</p> <p>The main challenge in this section has been the ownership of the indicators. While for some indicators there is a clear ownership, for indicators that rely on the Portal that is not necessarily the case.</p>

Section #	Section title	Content overview	Indicators	Data Source	Comment
2.3	One Programme Engagement	a. Engagement	Extent of project engagement of Members, Commissions, Committees	IUCN Programme & Project Portal	As of Q1 2018, quarterly updates have been established for all projects in the Project Portal. Vendor data has been linked to Portal data to be able to report on actuals. Longer term objectives include how to document the different types of engagement (in collaboration with the Membership Unit).
		b. Demand responsiveness to State and government agencies	Extent of project engagement of State and government agencies and donor satisfaction	IUCN Programme & Project Portal and project and organizational evaluations, as relevant,	This section needs further improvement, including by examining how other organizations measure demand responsiveness. At the moment IUCN is tracking the income from IUCN State Members from OECD DAC countries and multilateral partners (EC, GEF, GCF).
		c. Flow of resources to Members and Commission members	CHF disbursed to Members and Commission members through contracts and grants	Portal	Same as Section 2.3.a.
			CHF disbursed to other partners	Finance	As above
		d. Membership numbers and geographical presence	Number of Members by category; growth in each category and a world map that shows their location What do you consider a Member?	Constituency Relationship Management (CRM) System / Project Portal	
2.4	Programme delivery models	a. Number and size of the active project portfolio	Trends of active projects under implementation (% of national, regional and global projects) and a world map that shows their location	IUCN Programme & Project Portal	Portal report based on 2017 actuals, by location.

Section #	Section title	Content overview	Indicators	Data Source	Comment
			Evolution of mean; median value of projects	IUCN Programme & Project Portal	
		b. Programme delivery model (grant making, global initiatives etc.)	% of portfolio value by delivery model; % of annual expenditure by delivery model	IUCN Programme & Project Portal	Portal report based on 2017 actuals.
		c. Trends in grant-making (GEF/GCF, SOS, ITHP, BEST, MFF, etc.)	% of project expenditure spent through partners/grant recipients	IUCN Programme & Project Portal	Portal report based on 2017 actuals. The definition of "grant-making"-needs further examination. Currently, reporting jointly for partners and grand-recipients.
		d. Trends in programmatic coherence and alignment of active projects	Proportion of project portfolio classified as programmatic initiative, knowledge and regrants	IUCN Programme & Project Portal	Overlap with 2.4.a.
3.	Finance	a. Income	Trends in income sources: membership, framework, other unrestricted, restricted.	Finance	Same as section 2.3. Baseline data is as of end of 2016 when available.
			Framework allocations by programme area and region and restricted funding leveraged.	Finance	
			Flow of funds from global to regional programmes and vice versa	Portal through internal agreements	Internal agreements used as a proxy to document the flow of resources between Headquarters and Regions. Data needs further disaggregation.
		b. Expenditure	Expenditure (actuals) by Programme Areas, IUCN Targets, SDGs, Aichi & geography	IUCN Programme & Project Portal/NAV	
		c. Efficiency	Cost analysis: Change in indirect	Finance/ NAV	

Section #	Section title	Content overview	Indicators	Data Source	Comment
			costs as a % of total costs		
		d. Progression against 4y financial plan	Income, expenditure, portfolio growth	Finance	
		e. Budget performance – annual plan	Actual income and expenditure vs annual budget	Finance	
4	Organizational	a. Human resources	Number of staff and breakdown by organizational structure, gender and nationalities	Human Resources	
			1) Percentage of staff completing gender and environment '101' online course; 2) Percentage of women in the Leadership Team and managerial positions; 3) Percentage of staff turnover;	Human Resources	
			Update on HR procedures including: - Competency framework - Career development framework - Leadership development programme - Performance management - Staff compensation	Human Resources	

Section #	Section title	Content overview	Indicators	Data Source	Comment
		b. Risk control management	% of offices carrying out effective operational risk assessments, including fraud risk ³⁷	Planning, Monitoring, Evaluation and Risk (PME&R)	
			% of offices carrying out project risk assessments, including fraud risk	PME&R	
			% of offices carrying out effective risk-control self-assessments and submitting an Assurance Statement for Internal Control	Finance	
		c. Organizational change (ongoing administrative improvements) & System/process improvements	Update on progress on the implementation of work packages	Director General Office	
		d. compliance with project management procedures	Number of projects compliant with core IUCN project procedures (Project Appraisal and Approval and Environmental and Social Management System)	IUCN Programme & Project Portal	PAAS and ESMS compliance are set to significantly improve once the online PAAS system is operational. It is expected to be launched in September 2018.
		e. Follow-up on External Reviews	Progress on key actions planned, as described in Management Response	Planning, Monitoring, Evaluation and Risk (PME&R)	The traffic light assessment was based on the key actions planned. Some actions were superseded by the Secretariat organizational change.
5.	Governance	a. Congress resolutions	Implementation rate of the WCC 2016 resolutions	Global Policy Unit	
		b. Council	Implementation rate of the 2016 governance reforms	Governance Unit	

³⁷ Definition of “offices” is Regional Offices, Global Programmes and HQ Corporate Services.

Annex C – Monitoring Framework of the IUCN Programme 2017-2020 – Progress in 2017

Global result	Sub-result	Target	Indicators	Unit	Data Source	Baselines	2017 update	2020 Targets	Progress 2017
PA1: The risk facing species and ecosystems is reduced	SR 1.1 – Credible and trusted knowledge for valuing and conserving biodiversity is available, utilised and effectively communicated	T.01 -The IUCN Red List of Threatened Species™: global assessments of 160,000 species completed including reassessments to generate indicators and at least 75 % of countries with national and regional Red Lists use the IUCN Red List Categories and Criteria.	I.01 # of global RLTS Assessments and reassessments published	Assessments	IUCN Red List	85,604	91,523	160,000	7.96%
		T.02 - The IUCN Red List of Ecosystems: ensure global assessment of risk of collapse of 25% of the world's ecosystems according to an agreed global ecosystem classification.	I.02 % and area (km2) of the world's ecosystems assessed using approved IUCN RLE Criteria and agreed global ecosystem classification	km2	IUCN Red List of Ecosystems	35,133,000	38,550,000	56,000,000	16.38%
		T.03 - Protected Planet documents accurate and up-to-date information on protected areas under Aichi Target 11, including coverage, management effectiveness, governance, ecological representativeness, connectivity, other effective area-based conservation measures, as well as outcomes and other metrics for Green Listing.	I.03 Proportion of protected areas documented in Protected Planet with boundary documentation	Proportion of protected areas (%) / Terrestrial and inland water areas	World Database of Protected Areas / Protected Planet	14.7%	15%	17%	13.04%
				Proportion of protected areas (%) / Global ocean		4.12%	6.96%	10%	18.00%
				Proportion of protected areas (%) / National waters		10.2%	16.02%		63.00%

Global result	Sub-result	Target	Indicators	Unit	Data Source	Baselines	2017 update	2020 Targets	Progress 2017
		T.04 - 2,500 Key Biodiversity Areas (KBAs) are identified and the current datasets are updated against the new KBA standard to document all sites contributing significantly to the global persistence of biodiversity.	I.04 # of Key Biodiversity Areas identified according to A Global Standard for the Identification of Key Biodiversity Areas	Key Biodiversity Areas	World Database on Key Biodiversity Areas	15,524	15,587	18,000	2.54%
		T.05 - IUCN knowledge, including gender-specific knowledge as appropriate, on the value and conservation of nature is generated and communicated to influence key global, regional and local decisions and actions.	I.05.1 # of downloads of publications	Downloads	IUCN Library Portal	507,648	1,355,410	2,000,000	56.81%
			I.05.2 # of scientific papers published by IUCN	Papers	ISI Web of Science	76	215	300	62.05%
	SR 1.2 – Effective implementation and enforcement of laws and policies for valuing and conserving biodiversity and nature is accelerated	T.06 - The implementation of commitments under biodiversity-related conventions and international agreements is accelerated.	I.06.1 Proportion of commitments of biodiversity-related conventions -CBD- that are implemented by countries as assessed from their national reports and/or other national implementation review mechanisms. [Proxy indicator: # of national reports and/or other implementation review mechanisms submitted in the last reporting period]	National reports	CBD National Reports	185	190	196	45.45%

Global result	Sub-result	Target	Indicators	Unit	Data Source	Baselines	2017 update	2020 Targets	Progress 2017
			<p>I.06.2 Proportion of commitments of biodiversity-related conventions -CITES- that are implemented by countries as assessed from their national reports and/or other national implementation review mechanisms.</p> <p>[Proxy indicator: # of national reports and/or other implementation review mechanisms submitted in the last reporting period]</p>	Annual reports (CITES Parties)	CITES Annual Reports	107	110	732	0.48%
			<p>I.06.3 Proportion of commitments of biodiversity-related conventions -WHC- that are implemented by countries as assessed from their national reports and/or other national implementation review mechanisms.</p> <p>[Proxy indicator: # of national reports and/or other implementation review mechanisms submitted in the last reporting period]</p>	State of Conservation Reports	UNESCO State of Conservation System	61	121	240	33.52%

Global result	Sub-result	Target	Indicators	Unit	Data Source	Baselines	2017 update	2020 Targets	Progress 2017
			<p>I.06.4 Proportion of commitments of biodiversity-related conventions -CMS- that are implemented by countries as assessed from their national reports and/or other national implementation review mechanisms.</p> <p>[Proxy indicator: # of national reports and/or other implementation review mechanisms submitted in the last reporting period]</p>	National reports	CMS National Reports	89	91	124	5.71%
			<p>I.06.5 Proportion of commitments of biodiversity-related conventions -Ramsar- that are implemented by countries as assessed from their national reports and/or other national implementation review mechanisms.</p> <p>[Proxy indicator: # of national reports and/or other implementation review mechanisms submitted in the last reporting period]</p>	National reports COP 13	Ramsar National Reports	0	0	169	0.00%

Global result	Sub-result	Target	Indicators	Unit	Data Source	Baselines	2017 update	2020 Targets	Progress 2017
			<p>I.06.6 Proportion of commitments of biodiversity-relevant international agreements - UNFCCC- that are implemented by countries as assessed from their national reports and/or other national implementation review mechanisms.</p> <p>[Proxy indicator: # of national reports and/or other implementation review mechanisms submitted in the last reporting period]</p>	Nationally Determined Contributions (NDCs)	UNFCCC INDCs	142	162	170	71.43%
			<p>I.06.7 Proportion of other biodiversity-relevant international agreements -UNCCD- that are implemented by countries as assessed from their national reports and/or other national implementation review mechanisms.</p> <p>[Proxy indicator: # of national reports and/or other implementation review mechanisms submitted in the last reporting period]</p>	National reports	UNCCD National reports	0	0	161	0.00%

Global result	Sub-result	Target	Indicators	Unit	Data Source	Baselines	2017 update	2020 Targets	Progress 2017
			<p>I.06.8 Proportion of other biodiversity-relevant international agreements -SDGs- that are implemented by countries as assessed from their national reports and/or other national implementation review mechanisms.</p> <p>Proxy indicator: # of national reports and/or other implementation review mechanisms submitted in the last reporting period.</p>	Voluntary National Reviews (VNRs)	SDGs Voluntary National reviews	22	65	162	30.71%
		T.07 - New legislation and policies are developed (and implemented), and existing laws and policies are enforced, to address illegal wildlife trafficking.	I.07 - # of countries that adopt new and/or strengthened wildlife trade laws/regulations	Countries	Project Portal	37	43	50	46.15%
		T.08 - The development and implementation of standards, safeguards, natural capital metrics, incentives and the development of relevant regulatory frameworks (in the public, private and financial sectors) are recognised and put into practice.	I.08 - # of IBAT subscriptions	Subscriptions	IBAT	40	41	80	2.50%
	SR 1.3 – Key drivers of biodiversity loss are addressed through application of conservation measures.	T.09 - Targeted conservation actions lead to the recovery of species and ecosystems.	I.09.1 - # of IUCN projects incorporating explicit documentation and measurement of threatened species intended to benefit from the project	Projects	Project Portal	12	74	64	119.23%

Global result	Sub-result	Target	Indicators	Unit	Data Source	Baselines	2017 update	2020 Targets	Progress 2017
			I.09.2 - # of IUCN projects incorporating explicit documentation and measurement of degraded ecosystems intended to benefit from the project on water provision	Projects	Project Portal	2	38	32	120.00%
			I.09.3 - # of IUCN projects incorporating explicit documentation and measurement of degraded ecosystems intended to benefit from the project on carbon sequestration	Projects	Project Portal	3	23	22	105.26%
		T.10 - Protected area networks are expanded to conserve areas of particular importance for biodiversity through effectively and equitably managed, ecologically representative and well-connected systems of protected areas and other effective area-based conservation measures.	I.10 - # of sites assessed against criteria and thresholds for the Green List of Protected and Conserved Areas	Sites	Project Portal	3	11	82	10.13%
		T.11 - Invasive alien species and pathways are identified and prioritised, priority species are controlled or eradicated, and measures are in place to manage pathways to prevent their introduction and establishment.	I.11 - # of countries with policy responses to management of IAS	Countries	Invasive Species Specialist Group	105	142	196	40.66%

Global result	Sub-result	Target	Indicators	Unit	Data Source	Baselines	2017 update	2020 Targets	Progress 2017
		T.12 - NatureForAll raises awareness of nature and its values and enables more people to experience, connect with, and take action to conserve nature.	I.12.1- # of partners pledging their support to advancing #NatureForAll	Partners	IUCN Commission of Education and Communication (CEC)	0	201	300	67.00%
			I.12.2 - # of published success stories of #NatureForAll	Stories/Case studies	IUCN Commission of Education and Communication (CEC)	4	43	100	40.63%
PA2: Natural resource governance at all levels enables the delivery of effective conservation and equitable social outcomes by integrating good governance principles and rights based approaches	SR 2.1 – Credible and trusted knowledge for assessing and improving natural resource governance at all levels is available from IUCN.	T.13 - IUCN tools, methodologies and approaches for assessing and improving natural resource governance are available and used.	I.13 - # of IUCN projects that deploy governance tools, methods and approaches which have been assessed against and are consistent with an overarching IUCN natural resource governance framework (NRGF).	Projects	Project Portal	6	29	39	69.70%
		T.14 - Natural resource governance systems assessed (through testing of methodologies) under different management regimes, including protected areas, and corresponding improvement plans developed.	I.14 - # of documented applications of NRGF-consistent methodologies, tools and approaches by IUCN members and partners to assess and improve natural resource governance	Applications	Project Portal	14	28	22	175.00%

Global result	Sub-result	Target	Indicators	Unit	Data Source	Baselines	2017 update	2020 Targets	Progress 2017
		T.15 - Community-led, cultural, grassroots or protected area governance systems that achieve the effective and equitable governance of natural resources are recognised (as best practices/pilot testing), supported and promoted, while respecting the rights of nature.	I.15 - # of case studies concerning the recognition of community-led, cultural, grassroots governance systems in protected/conserved or other areas	Case studies	Project Portal	16	41	83	37.31%
	SR 2.2 – Governance at national and subnational levels related to nature and natural resources is strengthened through the application of the rights-based approach, and incorporation of good governance principles.	T.16 - Intervention points in which rights regimes related to natural resources are clear, stable, implementable, enforceable and equitable have increased and are effectively integrated with other rights regimes – particularly for women, indigenous people, youth and the poor – have increased.	I.16 - # of projects that aim at improving rights regimes based on IUCN's RBA policies.	Projects	Project Portal	7	36	46	74.36%
		T.17 - The capacity of institutions (including protected area and customary institutions) to undertake decision making in a participatory, inclusive, effective and equitable manner is enhanced, especially for facilitating the active participation of women, youth and indigenous peoples as key stakeholders.	I.17. # of partner governmental or civil society institutions with established or draft mechanisms or guidelines to ensure effective participation in decision making on biodiversity and natural resources	Institutions	Project Portal	169	1,134	1,117	101.79%

Global result	Sub-result	Target	Indicators	Unit	Data Source	Baselines	2017 update	2020 Targets	Progress 2017
		T.18 - Intervention points in which natural resource governance has the capacity to halt illegal natural resource use, through the promotion of rule of law and access to justice, have increased.	I.18 - # of court decisions to address illegal natural resource use	Court decisions	ECOLEX	2,055	2,356	2,600	55.23%
	SR 2.3 – Regional and global governance systems for conservation of nature and natural resources are established, supported and strengthened.	T.19 - Legal and institutional frameworks for an increased number of transboundary areas, including protected areas, are established and deliver effective and well-implemented natural resource governance.	I.19 - # of new legal and institutional transboundary or regional agreements facilitated or established	Agreements	ECOLEX	76	76	80	0.00%
		T.20 - International governance mechanisms for marine areas beyond national jurisdiction, Antarctica and the Arctic are strengthened, , including the establishment of marine protected areas.	I.20.1 - # of regional/ international governance arrangements [with competency] on the high seas	Regional Fisheries Management Organisations with competency on High Seas	IUCN Marine and Polar	17	17	18	0.00%
				Regional Seas Conventions that include Areas Beyond National Jurisdiction (ABNJ) under their geographical coverages:	IUCN Marine and Polar	5	5	7	0.00%

Global result	Sub-result	Target	Indicators	Unit	Data Source	Baselines	2017 update	2020 Targets	Progress 2017
			I. 20.2 # of Arctic Council/CCAMLR and other relevant Arctic Governance bodies decisions adopted on biodiversity conservation.	Arctic Council decisions	IUCN Marine and Polar	4	5	8	25.00%
				CCAMLR - conservation measures	IUCN Marine and Polar	64	90	100	72.22%
				CCAMLR - resolutions	IUCN Marine and Polar	21	21	30	0.00%
		T.21 - The accountability of governments in relation to their commitments under environmental agreements and related policy frameworks is enhanced.	I.21 - # of countries supported to take measures that enhance the reporting in relation to their international commitments.	Countries	Project Portal	42	105	154	56.25%
PA3: Societies recognise and enhance the ability of healthy and restored ecosystems to make effective contributions to meeting societal challenges of climate change, food security, human health and wellbeing, and economic and social development.	SR 3.1 – Credible and trusted knowledge on how nature-based solutions can directly contribute to addressing major societal challenges is available and used by decision-makers at all levels.	T.22 -IUCN and partners are equipped to systematically collect and compile disaggregated data that enables the assessment of the material benefits and cultural values that flow from ecosystems to, inter alia, indigenous peoples and local communities.	I.22 - # of IUCN projects that systematically assess material benefits and cultural values associated with species and ecosystems according to an overarching IUCN People in Nature framework (PiN).	Projects	Project Portal	7	46	59	75.00%

Global result	Sub-result	Target	Indicators	Unit	Data Source	Baselines	2017 update	2020 Targets	Progress 2017
		T.23 - IUCN and partners have a peer-reviewed framework and tools to guide the targeting of nature-based solutions and assessment of nature-based solutions effectiveness in contributing to relevant SDGs and Aichi Targets at national or sub-national levels.	I.23 - # of NBS-related projects and interventions that are designed and/ assessed according to a formal, peer-reviewed IUCN NBS effectiveness standard	Projects	Project Portal	1	5	5	100.00%
		T.24 - Key nature-based solutions interventions promoted by IUCN, (e.g. Forest Landscape Restoration, Disaster Risk Reduction, and Mangroves for the Future, river basin management and protected areas) are equipped to systematically assess and monitor the requisite in-country enabling frameworks, including legal, customary, institutional and resourcing mechanisms for implementation.	I. 24 - # of countries that are using NBS decision support tools for assessment of country enabling frameworks	Countries	Project Portal	6	130	74	182.35%
	SR 3.2 – Inclusive governance and resourcing mechanisms to facilitate the effective deployment of nature-based solutions are tested and adopted by decision-makers at all	T.25 - Legal, policy and institutional mechanisms (at the national and sub-national level) that support and reward ecosystem stewardship by local communities and other resource managers for the delivery of societal benefits have been piloted and documented.	I.25.1 - # of formalised national or sub-national legal, institutional and policy mechanisms for payment and compensation for NBS	Mechanisms	Project Portal	21	54	90	47.83%

Global result	Sub-result	Target	Indicators	Unit	Data Source	Baselines	2017 update	2020 Targets	Progress 2017
		T.26 - Mechanisms to facilitate the active participation of women, youth and indigenous peoples as key stakeholders in the design and implementation of nature-based solutions are tested, evaluated and promoted.	I.26.1 - # of mechanisms at the national /sub-national level that effectively facilitate the active participation of women, youth and indigenous peoples	mechanisms	Project Portal	47	158	187	79.29%
			I.26.2 - # of women participating in the design and implementation of IUCN-supported NBS interventions	People	Project Portal	2,905	52,967	132,244	38.71%
			I.26.3 - # of men participating in the design and implementation of IUCN-supported NBS interventions	People	Project Portal	3,670	185,947	186,921	99.47%
			I.26.4 - # youth participating in the design and implementation of IUCN-supported NBS interventions	People	Project Portal	630	7,887	45,955	16.01%

Global result	Sub-result	Target	Indicators	Unit	Data Source	Baselines	2017 update	2020 Targets	Progress 2017
			I.26.5 - # of indigenous people participating in the design and implementation of IUCN-supported NBS interventions	People	Project Portal	217	1,642	1,934	82.99%
		T.27. Additional international or national financial mechanisms that encourage the deployment of nature-based solutions are established and /or strengthened	I.27.1 - # of funds established and operating readily available for the implementation of nature based solutions	Funds	Project Portal	3	3	9	0.00%
			I. 27.2 - Value of funds established and operating readily available for the implementation of nature based solutions	CHF	Project Portal	500,000	500,000	20,000,000	0.00%
	SR 3.3 – Intact, modified and degraded landscapes, seascapes and watersheds that deliver direct benefits for society are equitably protected, managed and/or restored.	T.28 - New national, sub-national or corporate planning and investment frameworks are effectively implemented in productive ecosystems to contribute to biodiversity conservation, sustainably deliver ecosystem goods and services and promote 'land degradation neutrality'.	I. 28.1 - # of km2. outside protected areas, that are being protected, managed or restored	km2	Project Portal	483	172,111	10,355,451	1.66%
			I.28.2 - # of corporations visibly engaged in restoration or management of biodiversity in productive landscapes (including KBAs)	Corporations	Project Portal	7	142	143	99.26%

Global result	Sub-result	Target	Indicators	Unit	Data Source	Baselines	2017 update	2020 Targets	Progress 2017
			I.28.3 - # of countries that have set LDN targets	Countries	IUCN Land Degradation Neutrality Target Setting Project	14	50	167	23.53%
		T.29 - Restoration processes and methodologies make demonstrable contributions to the restitution of key ecosystem services in degraded landscapes, watersheds and seascapes.	I.29 - # of km2 of land in restoration transition with quantified improvements in ecosystem services	ha	Bonn Challenge Barometer	9,000,000	13,325,921	150,000,000	3.07%
		T.30 - Legal, customary and institutional mechanisms and resourcing are effectively implemented to maintain intact, natural and semi-natural ecosystems that deliver benefits to society, including existing and new protected areas.	I.30.1 - # of areas of particular importance for biodiversity and ecosystem services under conservation management	Areas	Project Portal	5	53	98	51.61%
			I.30.2 - size of areas of particular importance for biodiversity and ecosystem services under conservation management	km2	Project Portal	1,830	80,696	245,353	32.39%

Annex D – Deviations

Target	Indicators	Deviations
1. The IUCN Red List of Threatened Species™: global assessments of 160,000 species completed including reassessments to generate indicators and at least 75 % of countries with national and regional Red Lists use the IUCN Red List Categories and Criteria.	I.01 # of global RLTS Assessments and reassessments published	There are three main reasons that explain slow progress: 1. The number of assessments submitted each year varies significantly as it depends on what different assessment projects are doing with many more assessments being submitted in certain years than in others. There has never been any consistency in the numbers of assessments received from year-to-year. 2. There is a lag effect happening in response to various improvements , new tools and new funding sources, for e.g. a. A large amount of assessment work has been contracted out under the Toyota project and we are now waiting for assessments to be completed and submitted, but for various reasons there have been delays in that happening; b. We have been improving our assessment tools and developing new tools like SIS Connect to help us import large numbers of assessments from external systems and in other languages like French, Spanish and Portuguese; but uptake to use the new tools has been slow; c. We have been examining our internal processes to see what efficiencies can be made to speed up processing of assessments and these are starting to be implemented, but some of the key issues are resource dependent so there will be a lag in speeding up the whole process. 3. The main reason for the slow progress is lack of project resources to help ramp up the whole assessment process ; from providing the network with sufficient resources to do the assessments; to having sufficient resources to improve the assessment tools; and especially additional resources to support and expand the secretariat team processing assessments and managing the assessment data.
2. The IUCN Red List of Ecosystems: ensure global assessment of risk of collapse of 25% of the world's ecosystems according to an agreed global ecosystem classification.	I.02 % and area (km2) of the world's ecosystems assessed using approved IUCN RLE Criteria and agreed global ecosystem classification	Lack of awareness on the RLE has made it challenging to fundraise. The IUCN Red List of Ecosystems has been in development for the past 10 years, with the focus on attaining a scientifically robust methodology that can be applied globally. For its future use and uptake as well as for attaining the IUCN 2020 target, there is a need to actively promote the methodology as the leading tool for ecosystem assessments. Additionally, carrying out global assessments of ecosystems needs significant coordination and consensus as ecosystems can be spread over different political and administrative boundaries, involving different countries. .
4. 2,500 Key Biodiversity Areas (KBAs) are identified and the current datasets are updated against the new KBA standard to document all sites contributing significantly to the global persistence of biodiversity.	I.04 # of Key Biodiversity Areas identified according to A Global Standard for the Identification of Key Biodiversity Areas	The actual identification of KBAs over 2017 was much greater than what was reported for this report the efforts from the IUCN Secretariat alone documented 963 KBAs (39 for Lake Victoria basin freshwater, 23 for Madagascar freshwater, 218 for Mediterranean freshwater, 23 for Canada freshwater, 530 for Mediterranean terrestrial, 17 for Cape Verde, and 113 for criterion A1e globally). The reason for the difference was that the KBA Secretariat was in the process of being established over 2017 and the full procedure for quality control, consistency check and upload of new KBA data is therefore not yet in place. The intent is that this be set up in 2018, allowing both processing of the 2017 data and the input of new data as they are generated.

Target	Indicators	Deviations
6. The implementation of commitments under biodiversity-related conventions and international agreements is accelerated.	<p>I.06 Proportion of commitments of biodiversity-related conventions and biodiversity-related international agreements that are implemented by countries as assessed from their national reports and/or other national implementation review mechanisms.</p> <p>[Proxy indicator: # of national reports and/or other implementation review mechanisms submitted in the last reporting period]</p>	<p>The original intent of the indicators under Target 6 (I.06.1-I.06.8) was to document the level of fulfilment of countries to commitments they made under biodiversity-related conventions. However it is not feasible to conduct such an in depth analysis on an annual basis. Therefore, the focus has been narrowed down to track the number of national reports submitted by countries. The annual updates based on this proxy indicator will only be able to measure the "pulse" of national reporting for the main biodiversity conventions and related agreements at the global level. This goes beyond IUCN's immediate control.</p> <p>Only a few indicators of Target 6, namely I.06.2, I.06.4, I.06.5 and I.06.7 are below 25%. This is not reflected in the traffic light assessment as only the average measure at the target level is presented.</p>
8. The development and implementation of standards, safeguards, natural capital metrics, incentives and the development of relevant regulatory frameworks (in the public, private and financial sectors) are recognised and put into practice.	I.08 - # of IBAT subscriptions	Recruitment of new IBAT subscribers in 2017 was less than expected because of an un-filled vacancy in the IBAT Secretariat. The 'IBAT Manager' role was filled in January 2018 with new subscribers targeted through a revised pricing model, improved marketing strategy and a new website (to be launched later in 2018).
10. Protected area networks are expanded to conserve areas of particular importance for biodiversity through effectively and equitably managed, ecologically representative and well-connected systems of protected areas and other effective area-based conservation measures.	I.10 - # of sites assessed against criteria and thresholds for the Green List of Protected and Conserved Areas	<p>An analysis of the data contained in the Project Portal identified that there are under-reporting issues. Project entries will be corrected. The project, and supporting projects in four regions supporting the Green List should be reporting against this indicator.</p> <p>The Green List is being renewed in 8 countries/jurisdictions involving 23 sites, and in a further 7 countries and jurisdictions more than 100 sites.</p> <p>In addition, negotiations have been started since the IUCN Council approved the IUCN Green List of Protected and Conserved Area Standard in a further 26 countries and jurisdictions, laying the foundation for a rapid expansion of the number of sites being assessed.</p>
19. Legal and institutional frameworks for an increased number of transboundary areas, including protected areas, are established and deliver effective and well-implemented natural resource governance.	I.19 - # of new legal and institutional transboundary or regional agreements facilitated or established	The 0 increase is due to fact that relevant data collected by FAOLEX, one of the feeding sources of ECOLEX has not automatically fed into the ECOLEX system. The ECOLEX management unit will discuss with FAO on the possible inclusion of relevant data in the future. It is also recommended that regular communication and update from the IUCN WCPA Transboundary Conservation Specialist Group on information concerning protected areas is maintained.
20. International governance mechanisms for marine areas beyond national jurisdiction, Antarctica and the Arctic are strengthened, , including the establishment of marine protected areas.	I.20.1 - # of regional/ international governance arrangements [with competency] on the high seas	<p>I.20.1 - Regional Fisheries Management Organisations with competency on High Seas: No change in competency has been agreed in 2017. This change is linked to the negotiations on BBNJ under UNCLOS that will begin in September 2018.</p> <p>I.20.1 - Regional Seas Conventions that include Areas Beyond National Jurisdiction (ABNJ) under their geographical coverage: No change in competency has been agreed in 2017. The Conventions of Nairobi and the Convention of Abidjan are contemplating the extension of their jurisdiction on ABNJ, but it is linked to the advancements of the negotiations on BBNJ under UNCLOS that will begin in September 2018.</p>

Target	Indicators	Deviations
26. Mechanisms to facilitate the active participation of women, youth and indigenous peoples as key stakeholders in the design and implementation of nature-based solutions are tested, evaluated and promoted.	I.26.4 - # youth participating in the design and implementation of IUCN-supported NBS interventions	I.26.4. There is a need to provide guidance on how to enhance youth in IUCN work. This indicator is part of a combined indicator that includes women, youth and indigenous peoples as key stakeholders in the design and implementation of nature-based solutions. While the IUCN Gender Programme has clear business lines, with outputs and outcomes for women's and IP's, product of policies and mandates, there is no clear guidance or policy in relation to youth.
27. Additional international or national financial mechanisms that encourage the deployment of nature-based solutions are established and /or strengthened	I.27.1 - # of funds established and operating readily available for the implementation of nature based solutions I. 27.2 - Value of funds established and operating readily available for the implementation of nature based solutions	Determining the progress against these indicators is complex given the measurement unit is both the number of funds created, and the value of those funds. Consequently, since 2016 IUCN has not established any funds for nature based solutions, but is involved in numerous initiatives that are designed to influence existing financial mechanisms, or represent nascent discussions in possible future fund structures and designs. This includes initiatives such as the Coalition for Private Investment in Conservation (CPIC), the Blue Carbon Initiative, The Sustainability Investment Trust, as well as other smaller initiatives. There is a growing commitment financially within IUCN to commit resources to work with financial institutions and partners on fund development, and importantly, deployment. The work with CPIC involves the development of blueprints to help mobilise the GEF grant finance available to CPIC. So although in terms of pure number of funds developed progress is static, numerous efforts are underway to position IUCN in networks and conversations to shape, and influence the design of future funding mechanisms for nature based solutions. This is a very dynamic area within grant and capital market financial institutions at present, so although, as projects, the indicators slows static progress, the IUCN Secretariat is involved in activities across forests, water, land degradation, marine, and protected areas constituencies.
28. New national, sub-national or corporate planning and investment frameworks are effectively implemented in productive ecosystems to contribute to biodiversity conservation, sustainably deliver ecosystem goods and services and promote 'land degradation neutrality'.	I. 28.1 - # of km2. outside protected areas, that are being protected, managed or restored	With 10m km2 set as a 2020 target there is a need to review this critical indicator for IUCN's delivery on the ground as 1.6% is very low. We need to undertake a review of committed delivery targets per project versus how it is being monitored. We also need to address data quality issues as 90% of delivery is in South America and 10% in Eastern and Southern Africa (Brazil GEF project PROSPECIES– GEF and SUSTAIN). There is evidence that we are moving towards this through initial corporate engagement (indicator 28.2) which is at 99% delivery rate with 22m of project funds allocated particularly in the Asia Region and East and Southern Africa to deliver results on the ground – i.e. indicator 28.1.
	I.28.3 - # of countries that have set LDN targets	As at 31st December 2017, 114 countries have committed to set voluntary LDN targets. It is not expected that more countries will adhere, so the target of all affected countries (167) will not be reached. This Target was based on the total number of "affected" parties under the UNCCD. Based on current progress it looks like some affected parties will not sign up to LDN target setting. By December 2017, the total number of countries committing to target setting is 114 and the number may not go much higher. It is worth keeping the higher target, but evaluating which countries have decided not to set targets and why. At the moment, 56 countries have completed their Baseline assessment, of which 50 have defined targets. This means 50 new countries out of the target of 167 – roughly 30%. We expect to reach 114 countries in 2018 – roughly 70%. The traffic light assessment does not reflect the relatively low values as the average measure is above the 25% threshold.

Target	Indicators	Deviations
<p>29. Restoration processes and methodologies make demonstrable contributions to the restitution of key ecosystem services in degraded landscapes, watersheds and seascapes.</p>	<p>I.29 - # of km2 of land in restoration transition with quantified improvements in ecosystem services</p>	<p>IUCN is currently developing the Bonn Challenge Barometer of Progress which is to track progress toward the Bonn Challenge target of bringing 150 million hectares into restoration by 2020 and 350 million hectares by 2030. The Barometer is being developed through pilots in 5 countries who reported 13,325,921 ha of progress in 2017, contributing to IUCN Indicator 29. By 2020, funding permitting, the Barometer will be made available to all Bonn Challenge pledgers, of which there are currently 47. It was always expected that documented progress in 2017 and 2018 would be modest while a fuller picture would be available in 2020 through the broad application of the Barometer. It was not expected that progress would be a linear 25% per year. Any current deviations related to regional level progress are likely related to the current limited pilot nature of the Barometer.</p>

Annex E – IUCN External Review 2015 – Management response tracking

Key actions planned	Recommendations covered	Expected completion date	Implementation progress	Actions taken - for "ongoing" items, March updates were added to earlier descriptions
Evaluation recommendations on Knowledge Products 3.1-3.6, 4.1-4.4, 5.1-5.10, 6.1-6.5 -				
1. Planning for knowledge products - the IUCN Programme and unit level workplans have all specified plans for the development, use and intended uptake of the Red Lists, Protected Planet, the Green Lists, Key Biodiversity Areas, People in Nature and the Natural Resource Governance Framework	3.4, 5.1, 5.2, 5.3, 5.5, 5.6, 6.2, 6.3)	Various - the Red List of Species is an ongoing process, the Red List of Ecosystem is projected for completion by 2015, the Key Biodiversity Area designation by 2020. The Green Lists, People in Nature and the NRGF are just starting		<p>1. Red List of Species standard agreed and assessments ongoing with use in conservation planning, conservation investment, policy formulation and monitoring, conservation action</p> <p>2. Red List of Ecosystem standard agreed and assessments underway</p> <p>3. Key Biodiversity Areas Standard agreed and designations underway</p> <p>4. Green List, PIN and NRGF work initiated</p> <p>March 2018 update: The Green List of Protected Areas standard was approved by Council in November 2017. A working group is convened annually to discuss IUCN's major knowledge products. This group provides oversight to knowledge product development, standards, integration across knowledge products, IT platforms and databases, policy influencing, end-users, including business and resourcing.</p> <p>March 2018 update: units in the Biodiversity Conservation Group have planned for knowledge products.</p> <p>March 2018 update: units in the Nature-based Solutions Group have planned for knowledge products.</p>

Key actions planned	Recommendations covered	Expected completion date	Implementation progress	Actions taken - for "ongoing" items, March updates were added to earlier descriptions
2. Use of IUCN knowledge products - this is an ongoing area of work, well described in the IUCN Programme 2017-2020 and unit level workplans	3.1, 3.2, 5.6, 5.7, 5.8, 5.9, 5.10	Ongoing		1. Integration of knowledge and data into key policy processes - SDGs, CBD, Aichi Targets, CITES, CMS, Ramsar, IPBES are examples - often guiding decision making and monitoring
				2. Promotion of use of knowledge for conservation investment - Global Environment Facility
				3. Private sector decision making - through IBAT (Integrated Biodiversity Assessment Tool) covering 50+ major corporations. March 2018 update: At the national level, IBAT can be used to identify priorities for national planning, setting national targets, reporting progress against NBSAPs and conservation action plans, and supplement national datasets. A new business model is under development.
				4. Protected Areas establishment, governance, management effectiveness by national parks agencies.
3. Fundraising for knowledge products -	3.6, 6.4	Ongoing		Fundraising for knowledge products included in the IUCN Financial Plan 2017-2020 March 2018 update: Fundraising for knowledge products included in the IUCN Financial Plan 2017-2020. IUCN is exploring the development of an IUCN Sustainability Standard based

Key actions planned	Recommendations covered	Expected completion date	Implementation progress	Actions taken - for "ongoing" items, March updates were added to earlier descriptions
5. Monitoring uptake/use of knowledge products	5.4	Annually, 2017-2020		March 2018 update: In 2017 a new reporting framework was agreed with Framework Donors that reports on various indicators of IUCN work including knowledge products. This is mainly based on Project Portal data including: Programme Indicators (2.1), One Programme Engagement (2.3), Programme Delivery Models (2.4). The Project Portal will also report on publications from projects by the end of 2018. A new Publications Committee will track uptake of IUCN publications.
6. Inclusion of Indigenous and Traditional Knowledge in knowledge products	3.5, 4.3	Ongoing		ITK is already being included under the RLS with data on species use; ITK will feature prominently in work on PIN and NRGF.
7. Publication of knowledge products in three official languages	5.11	This recommendation is only partially agreed. Resource constraints and practical concerns (e.g. the sheer amount of rapidly changing data under the RLS)		Many major publications have been translated into French and Spanish, but resources are a constraint. March 2018 update: World Heritage Outlook 2 was translated into French (2017).
8. Support and oversight of the NRGF	6.5	2016 and ongoing		Leadership of the NRGF was changed in 2016

Key actions planned	Recommendations covered	Expected completion date	Implementation progress	Actions taken - for "ongoing" items, March updates were added to earlier descriptions
Evaluation recommendation Commissions 7.1-7.4, 8.1-8.6, 9.1-9.5, 10.1-10.7 - PARTIALLY AGREED				
1. Commission functions - providing platforms and forums, integrating new issues, aligning to the IUCN Programme	7.1, 7.2, 7.3	Ongoing		Commissions routinely provide a platform for collaboration, align with the IUCN Programme through joint work planning and implementation and integrate new themes (recent examples include systemic pesticides, sustainable use, access and benefit sharing, key biodiversity areas)
2. Commission communications	8.3 , 8.4 , 8.5	Ongoing		March 2018 update: The new Commission Support Unit is addressing all of the recommendations on Commission communications: communications within the Union, communicating their work through alignment to Secretariat planning and reporting and updating of Commission websites. In addition links between Commissions and Members are being strengthened.
3. Joining Commissions	8.2, 8.6	Ongoing		March 2018 update: The new Commission Support Unit is developing a Commission Membership Management System for all six Commissions. It will improve services in the current quadrennial (including enabling compliance with EU General Data Protection Regulation (GDPR)) and will be fully operational at the start of the 2021-24 period.
4. Structure of Commissions	8.1, 10.1	Ongoing		As this is already done, no new actions anticipated in terms of membership and specialist groups
5. Resources for Commissions	9.1 , 10.3 , 10.4 ,	Ongoing		Pending actions (updated March 2018): significant aspects of the support to Commissions is now being provided by the Commission Support Unit (see below). Pending actions: agree on reasonable support from Secretariat focal points for aspects not handled by CSU.

Key actions planned	Recommendations covered	Expected completion date	Implementation progress	Actions taken - for "ongoing" items, March updates were added to earlier descriptions
	10.5			March 2018 update: The new Commission Support Unit has been operational as of 1 January 2018 and provides coordinated administrative support to all Commissions (internal communication, membership and administering the Commission Operation Fund).
6. Commission Chairs' recruitment and orientation	9.2, 9.3, 9.4, 9.5	2016		Orientation of Commission Chairs has already happened (in 2016-17)
7. Planning and reporting for Commissions	10.6	2016		March 2018 update: In 2017 all Commissions for the first time applied the new planning and reporting template for the annual work plan exercise, following the Commission Financial Reporting rules.
Evaluation recommendations on Communications: 1.1, 1.3, 13.1, 13.2, 13.3, 13.4, 13.5, 13.6, 13.7, 13.8, 13.9 - AGREED				
1. Branding: IUCN has revamped its website content and published the new IUCN Programme 2017-2020	1.1, 5.7	Ongoing		March 2018 update: In addition to updated website content, the IUCN Annual Report has been significantly revised and reformatted.
2. Communications strategies and tools: IUCN will publish its revised Communications strategy in 2017	1.3, 13.1	End 2016		Strategy revised.
2. continued: Many communications standards and tools have been revised: website governance policy, media relations policy, writing for the web, IUCN style guide,	13.8	Mid 2017		All except photo policy have been updated. March 2018 update: The photo policy is on hold by the Global Communications Unit until the Office of the Legal Advisor has time to advice on the legal and copyright aspects.

Key actions planned	Recommendations covered	Expected completion date	Implementation progress	Actions taken - for "ongoing" items, March updates were added to earlier descriptions
social media policy, photo policy				
3. Content of communications: this encompasses a variety of daily work of Global Communications to strengthen its communications to various audiences and the accuracy of its content	7.4, 13.4, 13.5, 13.6, 13.7, 13.9	Ongoing		March 2018 update: The Global Communications Unit has increased its focus on policy-related communications and has launched a new series of issues briefs to help communicate IUCN work to informed, non-expert audiences. In an effort to increase awareness of IUCN's contribution to the Sustainable Development Goals, the Global Communications Unit has re-aligned its top-line messaging and is working to reach boundary-partner audiences. It has also started producing a series of outputs to communicate how IUCN's work is aligned with global societal challenges such as food security, climate change and poverty reduction. A brochure on IUCN and the SDGs was published: https://www.iucn.org/sites/dev/files/sdgs_-_uicn_-_web_-_eng.pdf
4. How Communications will organize itself	13.2	Ongoing		Matrix management of all corporate communications staff enabled in 2016.
Evaluation recommendation Private sector: 2.1, 2.2, 2.3 - PARTIALLY AGREED				
1. While IUCN will not update its Private Sector Engagement Strategy, it will continue to implement the Strategy. IUCN has also recently updated its	2.1	2016		Operational Procedures updated.

Key actions planned	Recommendations covered	Expected completion date	Implementation progress	Actions taken - for "ongoing" items, March updates were added to earlier descriptions
Operational Procedures for Business Engagement covering transforming business practices, sponsorship, licensing, donations, commercial use of IUCN data and procurement				
2. Scientific and Technical Advisory Panels - continue to seek opportunities to facilitate	2.2	2016 and ongoing		March 2018 update: IUCN was invited to convene a new ISTAP, the independent panel for Rio Doce, Brazil.
<p>Evaluation recommendations on Resource Mobilization (11.3, 15.1, 15.2, 15.3, 15.4, 15.5, 15.6, 15.7, 15.8, 15.9, 15.10) - AGREED Management response (Agree, Partially Agree, Disagree). The recommendations can be grouped as such: 1. Fundraising strategy, covering from whom IUCN will seek resources and the overall strategy) (11.3, 15.2, 15.3, 15.4, 15.5, 15.7, 15.8, 15.9) - AGREED 2. Grantmaking (15.6) - AGREED 3. Role of Strategic Partnerships (15.1) - AGREED (although resources to fund this function are scarce) 4. Improving client orientation as a resourcing strategy (15.10) - AGREED</p>				
1. IUCN's resource mobilization operates under a Council approved fundraising strategy and a Congress approved Financial Plan for 2017-2020. Key parts of the resourcing strategy include moving from "retail to wholesale" in terms of programmatic oriented project fundraising and	11.3, 15.2, 15.3,	Ongoing		<p>Approval of IUCN Financial Plan 2017-2020; implementation of Council approved Fundraising Strategy, specific actions to engage potential new framework partners, US Foundations, high net worth individuals, international financial institutions; seeking international organization status under the European Union.</p> <p>March 2018 update: At the end of 2017 IUCN reported a shift towards larger/wholesale-type initiatives and sub-granting mechanisms (trends in delivery models).</p>

Key actions planned	Recommendations covered	Expected completion date	Implementation progress	Actions taken - for "ongoing" items, March updates were added to earlier descriptions
grantmaking to increase the size of the project portfolio, the average size of projects and improve alignment across the Secretariat and Commissions				
2. Grantmaking	15.6	Ongoing		March 2018 update: IUCN continues to grow its portfolio under the Green Climate Fund (GCF) accreditation it obtained in 2016. The projected portfolio growth for both GEF and GCF is from CHF50m in 2017 to CHF 174m in 2020.
3. Role of Strategic Partnerships	15.1	Ongoing		March 2018 update: Strategic Partnerships works with a network of fundraising focal points to coordinate donor engagements.
4. Improving client orientation	15.1	Ongoing		March 2018 update: IBAT recruited a new full-time manager in January 2018 to implement the new business plan. To encourage greater uptake, key improvements were made to the pricing options in 2017. To further improve the user experience and availability of industry-relevant reports, a new IBAT platform will be launched in 2018.
Evaluation recommendations on Membership and One Programme (12.1, 12.2, 11.1, 11.2, 11.4, 11.5) - AGREED				
1. Creating new categories of Membership for Indigenous Peoples' Organizations	12.1	2017		17 Indigenous Peoples' Organizations are now Members of IUCN.
for Local and Regional Authorities	12.1	2021?		WCC did not vote to create a new category for local and regional authorities, but will reconsider a new proposal at the 2020 WCC, which would then be ratified in 2021 if the vote is positive. March 2018 update: This item cannot be implemented until 2021, and then only if the WCC votes for it.

Key actions planned	Recommendations covered	Expected completion date	Implementation progress	Actions taken - for "ongoing" items, March updates were added to earlier descriptions
2. Develop a new Membership Strategy	12.2, 11.4	2017		
3. Delivering on the One Programme Charter through the IUCN Programme	11.1, 11.2, 11.3	Ongoing		As of end 2017, all Commissions used the IUCN work plan template to develop their work plans. Unit work plans continue to specify Commission and Member engagement.
				March 2018 update: Units now report on Member and Commission engagement through the Project Portal. This has been linked to the Member database. Also, new Portal dashboards to show constituency engagement were designed in March 2018.
Evaluation recommendations on Role and Niche (1.2) - AGREED				
World Conservation Congress and Regional Conservation Fora	1.2	2016		Convened Members in WCC and RCFs in all regions
Independent Scientific and Technical Advisory Panels - various - bring together scientific expertise and private sector (e.g. Western Gray Whale Advisory Panel, Niger Delta Panel)	1.2	Ongoing		Convened Commission members and other scientists with private sector on different issues. March 2018 update: The Rio Doce Panel is in place and has started to provide guidance to Renova Foundation.
Policy influencing - IUCN's strategy convenes Members and Commissions in influencing a range of policy	1.2	Ongoing		As described

Key actions planned	Recommendations covered	Expected completion date	Implementation progress	Actions taken - for "ongoing" items, March updates were added to earlier descriptions
processes such as the SDGs, CBD, UNFCCC, WHC, CITES, etc.				
Knowledge- IUCN convenes Commission Members in the development of knowledge and data under IUCN standards	1.2	Ongoing		Includes the RLS, RLE, KBA, PP, NRGF and PIN
Evaluation recommendations on UN Observer Status (1.4) - DISAGREED				
Building on SDG engagement, UN Permanent Observer has planned for many new events in and around the UNGA	1.4	Ongoing		While there could always be more use of the UN Observer Status, this recommendation is DISAGREED, as there are numerous examples of effective engagement - e.g. the SDG process.
Evaluation recommendation Human Resources (14.1) - AGREED				
Upgrade of HR policies and tools	14.1	2017		Review of various HR policies and tools: talent acquisition, compensation, international mobility, expatriates, end of employment & retirement, internships, leaving HQ, maternity leave & adoption, JPOs; updated approach to performance management, skills audit underway March 2018 update: The following HR initiatives have made progress and are now being implemented: competency framework, career development framework, leadership development programme, performance management, staff compensation (see section 4a of Annual Report on HR).

Key actions planned	Recommendations covered	Expected completion date	Implementation progress	Actions taken - for "ongoing" items, March updates were added to earlier descriptions
Evaluation recommendations on Monitoring & Evaluation 16.1-16.6 - AGREED				
1. Monitoring - links to IUCN Programme, collaborative monitoring	16.1, 16.3	2017		Based on the 30 targets of the IUCN Programme 2017-2020, have engaged 60 experts from the Secretariat and Commissions to guide the process of indicator development, baselines and then monitoring March 2018 update: Based on the 30 targets of the IUCN Programme 2017-2020, have engaged 60 experts from the Secretariat and Commissions to guide the process of indicator development, baselines and then monitoring. The baselines, 2020 target values and 2017 updates were completed with support of the indicator champions.
1. Monitoring - engaging Members	16.4	2019		As of March 2018 the Project Portal is linked to the databases of Members and Commissions and all projects have made links to these. Future phase of the Programme/Project Portal will include an area for IUCN Members to provide voluntary reporting, linked to the Programme Results and Targets (which are in turn, linked to the SDGs and Aichi Targets).

94th Meeting of the IUCN Council, Gland (Switzerland), 29 April – 2 May 2018

Programme and Policy Committee (43rd meeting)

Agenda Item PPC43/2.1

**Progress in the implementation of Resolutions and Recommendations
adopted at the World Conservation Congress in Hawaii, 2016**

Origin: Director General

Required action:

The PPC is invited to take note of the Report on the progress in the implementation of Resolutions and Recommendations and consider putting in place any necessary actions in order to further enhance the implementation of those Resolutions and Recommendations.

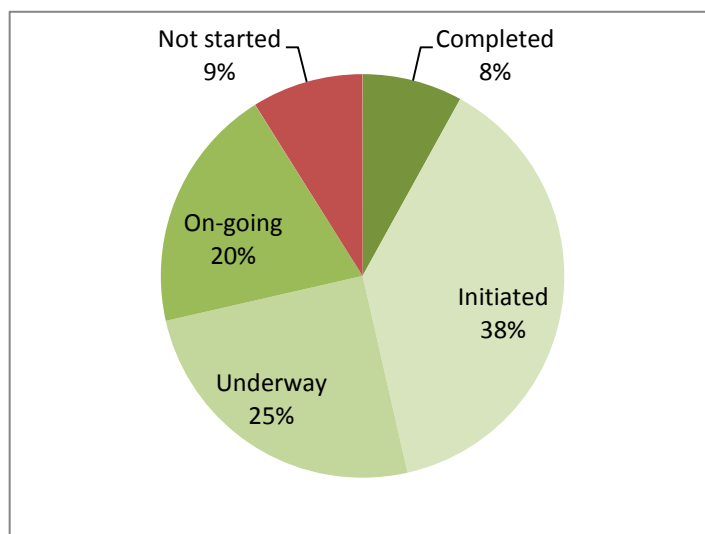
Introduction

1. This constitutes the first comprehensive report on the implementation of Resolutions and Recommendations adopted at the 2016 World Conservation Congress in Hawaii. Annual follow-up reports will be presented to Council at each of its first meetings in 2019 and 2020. The aim of this report is to provide an overview of the progress in the implementation, identify a number of challenges and possible systemic issues and mobilize action to fill implementation gaps.
2. IUCN Members adopted 112 Resolutions and Recommendations at the World Conservation Congress in Hawaii, 2016. Resolutions are directed to the Union, Recommendations are directed to third parties. They focus on a variety of topics relating to the work of IUCN and provide the general policy of the Union on these issues. In terms of span, some are global and others are very narrow, concerning a national issue or a specific geographical location. Since their adoption the Union has been working in order to implement these important ambitions of IUCN Members.
3. Resolutions/Recommendations are not necessarily to be implemented immediately, but we are aiming to implement as many as possible of the implementable Resolutions/Recommendations within the four year intersessional period. Their implementation is encouraged to be carried out through a One-Programme approach, with:
 - Designated Secretariat Focal Point for each Resolution/Recommendation
 - Designated Members' assigned focal point (assigned by sponsors at submission of motion)
 - Designated Commissions' focal point(s) (depending how many Commissions should contribute to its implementation).
4. Information on the implementation of Resolutions/Recommendations is gathered annually from a variety of sources (Members, Commissions, Secretariat) in order to prepare this annual report:
 - *Activity reports* on the actions carried out, the results achieved and obstacles encountered are collected from IUCN Members, Commissions Members and the Secretariat from October – January each year. This is done through a broad call for input, in order to allow the identification of actions that might be taking place in other parts of the Union in addition to the work of the formally assigned focal points.
 - *Progress reports* prepared by the Secretariat focal points in January – March synthesizing the *activity reports* and complementing them with any additional information they hold.

5. For the 2017 period, there has been wide participation in reporting. In total we received:
 - 120 *activity reports*
 - 29 from Members + National Committee
 - 45 from Commission members (19 SSC, 12 WCPA, 6 CEM, 4 CEESP, 3 CEC, 1 WCEL)
 - 46 from Secretariat
 - 105 *progress reports* from Secretariat Focal Points.
6. Overall there has been good progress in implementation of most Resolutions/ Recommendations in their first year. Implementation is taking place (in various levels of advancement) for the large majority, with implementation not having started on only a few. The present report presents the findings in more detail, making assessments concerning the different types of activities carried out, who contributes to the implementation and identifies a number of key challenges faced in the implementation.

Detailed assessment of *progress reports*

7. Implementation is advancing well with implementation completed on 8% of Resolutions/ Recommendations. On only 9% implementation has not yet started. Hence 83% are currently being implemented with implementation initiated on 38% and 45% with advanced implementation (underway/ongoing). Given this report looks at the first year of implementation, the level of percentage of Resolutions/Recommendations whose implementation has not yet started or has only been initiated is not surprising.



Not started: implementation not started.

Initiated: first stages of implementation.

Underway: implementation well-advanced.

On-going: implementation consisting of repetitive, recurrent action (attending meetings, reporting, etc.).

Completed: implementation completed.

Actors involved in the implementation of Resolutions and Recommendations

8. A variety of actors are involved in the implementation of IUCN's Resolutions /Recommendations from the Hawaii WCC. The main ones involved are IUCN Members, IUCN Commissions, the Secretariat, National and Regional Committees, as well as a number of non IUCN entities, such as International Organisations. In 2017 the participation was as follows:
 - a. IUCN Members are involved in the implementation of 74%
 - b. IUCN Commissions are involved in the implementation of 75%
 - c. The Secretariat is involved in 72%
 - d. Non-IUCN entities are involved in 55%
 - e. 6% are being implemented by only one single IUCN constituent type
 - f. 57% are being carried out in a One-Programme approach

9. In total, 238 IUCN Members were identified as being actively involved in the implementation process. The distribution across the IUCN Membership categories is as follows: Category A: 67 Members (31% of all Category A Members), Category B: 154 Members (15% of all Category B Members), Category C: 7 Members (41% of all Category C Members), Category D: 10 Members (24% of all Category D Members). This data is for specific contributions by Members. There are a few very generic Resolutions/Recommendations to which the work of many, if not all Members is contributing, as for example on WCC 2016 Rec 111 *Increase resources for biodiversity conservation research*.
10. While a One-Programme approach (e.g.: participation by the Secretariat, at least one Commission and at least one Member organization) is highly encouraged, it has not always taken place in this first year of implementation. At this stage 57% of Resolutions/Recommendations are being implemented in a One-Programme approach. Our assessments have shown that in general those that are being implemented in such a manner are in a more advanced state of implementation compared to those that are being implemented by only one or two IUCN constituent types:
- One-Programme implementation: 30% implementation initiated, 66% advanced implementation
 - Not One-Programme implementation: 67% initiated, 32% advanced implementation
11. Given that a One-Programme approach seems to significantly increase the likelihood of a Resolution/Recommendation progressing well in its implementation; it needs to be ensured that at least the Commissions and the Secretariat, are fully participating.
12. The Secretariat is actively involved in the implementation of the majority of Resolutions/Recommendations. According to the reports, it was not involved in the implementation of 25% of Resolutions/Recommendations due to a lack of funding, missing capacity or knowledge on the issue within the Secretariat or due to the specific mandate of the Resolution/Recommendation.
13. From the 112 Resolutions/Recommendations, IUCN Commissions are called on, requested, asked or encouraged to be actively engaged in 59 Resolutions. 32 of those require the involvement of all 6 Commissions. Some Resolutions/Recommendations are addressed to one specific Commissions, as follows:
- IUCN Commission on Education and Communication (CEC): 2
 - IUCN Commission on Ecosystem Management (CEM): 3
 - IUCN Commission on Environmental, Economic and Social Policy (CEESP): 4
 - IUCN World Commission on Protected Areas (WCPA): 9
 - IUCN World Commission on Environmental Law (WCEL): 12
 - The IUCN Species Survival Commission (SSC): 12
14. The table below summarizes information about the participation of Commissions in the implementation of Resolutions and Recommendations:

Commission	Resolutions specifically requesting action by Commission / on how many of those implementation has not yet started	Number of Res and Rec the Commission should be involved in (percentage in how many there is actual involvement)	Number of Res and Rec the Commission is currently involved in	Number of Res Rec Commission is contributing to without being mentioned in text

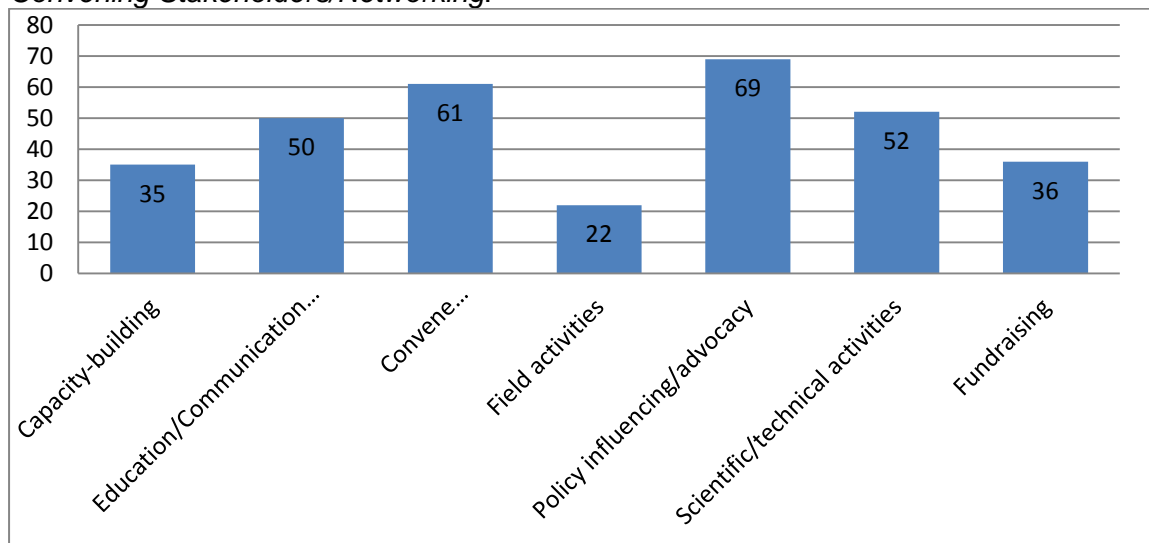
CEC	2 / 0	32 (15%)	8	3
WCEL	12 / 4	41 (29%)	17	5
CEESP	4 / 0	35 (29%)	19	9
CEM	3 / 1	34 (29%)	19	9
WCPA	9 / 3	38 (60%)	37	14
SSC	12 / 2	41 (73%)	45	15

15. The third column reflects the number of all the Resolutions/Recommendations a Commission should be involved in (either because the Resolution/Recommendation calls specifically on this Commission or because it calls on Commissions in general). This column also shows that there is still room for improvement for most Commissions to ensure actual involvement. The second column in the table indicates the number of Resolutions and Recommendations that require some action from a specific Commission, as well as on how many of those Resolutions/Recommendations work has not yet started by that Commission.

16. The assessment shows that Commissions have played an active role in the implementation of many more Resolutions/Recommendations than the 59 that mention IUCN Commissions. Commissions are effectively involved in implementing 94 of all Res/Res (84%). Still, there is further action required in order to ensure that all Commissions initiate action on those Resolutions that call on them specifically or require some sort of contribution from Commissions in general.

Activities Carried out

17. In an effort to implement the Resolutions/Recommendations, a number of important activities are being carried out by the different constituencies. In accordance with previous reports and assessments on the implementation of IUCN's Resolutions/Recommendations, we consider the following activities: *field activities, scientific activities, education/communication/raising awareness, fundraising, policy influencing, convening stakeholders/networking, and capacity-building* (see Annex 2 for details). In 2017, the most carried out activities in order to implement a Resolution/Recommendation were *Policy Influencing and Advocacy*, as well as *Convening Stakeholders/Networking*.



18. In most cases Resolutions/Recommendations are being implemented using a selection of activities. The data gathered shows that Resolutions/Recommendations which are

being implemented using a number of different activities have a more advanced status of implementation, compared to Resolutions/Recommendations for which only one activity is being carried out:

- Only 1 activity carried out: 72% implementation initiated, 24% show an advanced status of implementation.
- More than 1 activity was carried out: 35% implementation initiated, and 65% show an advanced status of implementation.

It is hence important to consider carrying out a variety of activities.

Main Challenges Encountered

19. While overall 45% of Resolutions/Recommendations are in an advanced status of implementation, the implementation of many faced a number of challenges in 2017.
20. The most significant challenge is a lack of **funding** for the implementation of the Resolution/Recommendation (62% of Resolutions identifying this as an obstacle). The funding challenge addresses two aspects of resolution implementation:
 - a. **Lack of financial resources prevents the necessary actions to be carried out to implement the Resolution.** When Resolutions/Recommendations are adopted at the WCC, there is no funding mandate that comes with this, nor is a careful assessment done on the financial implications this would have. In a limited amount of cases, fund raising activities have led to funding to work on the Resolution since their adoption. However, even when this happened in many cases this is not a sustained funding plan that allows for the full implementation of the Resolution, but simply a short term project funding that only contributes to a specific aspect of the Resolution. In one case, funding had been secured throughout 2017, but has now run out and this situation is thus jeopardizing the continuous implementation of the Resolution. (Examples : Res 016, Res 058, Res 059, Rec 103)
 - b. **Financial constraints also impact the coordination and reporting function of Secretariat Focal Points.** In many cases IUCN Secretariat staff serving as Secretariat Focal Points for a Resolution are entirely employed on project funding basis. Where the work of the project and the topic of the Resolution are congruent, no problems are faced. However, in various cases there is currently no specific project on the topic of the Resolution. This creates an extra burden on the project funded Secretariat staff, who are limited in the amount of time they can dedicate to following up on Resolutions.
21. On the basis of the above analysis, it is clear that lack of financial resources is a prevailing constraining issue for the implementation of Resolutions/Recommendations and more thought must be given on how to overcome it for those adopted in Hawaii, but also in order to plan ahead for the next set of Resolutions and Recommendations to be adopted in 2020.
22. The second biggest challenge faced is linked to **coordination** with or **commitment** of the different IUCN constituencies (30%). For example, even though Members assigned a focal point at the time of submission for each Res/Rec, there is a bit of divergence as to how available these focal points are. While a majority is available and committed, a minority is rather unresponsive and thus hampers implementation and adequate reporting. The same is true for Focal Points from Commissions and from the Secretariat. New ways need to be considered to ensure a minimum exchange between the different focal points. For example on Res082, the Members' Assigned Focal Point has not been responding to any of the emails sent by the Secretariat Focal Point in an effort to implement the Resolution, nor has this Members' Assigned Focal Point contributed to the reporting exercise. This makes it very difficult to move implementation forward and

identify main challenges. (Other examples: Res010, Res027, Res043, Res063, Res074, Rec101, ...)

23. The third most important challenge to implementation of Resolutions/Recommendations is an external determinant: a lack of political willingness or feasibility to implement some Resolutions in the current political context at national or regional level (19%). Increased scientific work and efforts to convene the different parties might be necessary to drive implementation on these Resolutions forward. For example on Resolution 034 the main obstacle has been political pressure on the Ministry of Environment against the interest of nature protection. To overcome it, the IUCN members involved in implementation of this Resolutions, have lobbied the Ministry and, when necessary, the Cabinet Office, to respect their prior commitments and the resolution, albeit with mixed results. (Examples: Res013, Res023, Res034, Rec098, ...)
24. Other challenges are a missing institutional home within the Secretariat for the topic of the Resolution/Recommendation due to other prevailing programmatic **priorities** (see examples in the focus section below). This happens on 14% of Resolutions. Also, sometimes the vagueness of a Resolution/Recommendation can negatively affect their implementation (3%).

Emerging risks to the implementation of Resolutions/Recommendations adopted at the Hawai'i WCC.

25. Turnover in Secretariat staff and shifting responsibilities can negatively impact the implementation of Resolutions/Recommendations. However, the newly created job-families feature might be a new mechanism to follow-up to Resolutions and Recommendations by providing a pool of Secretariat staff who can have shared knowledge on specific topics.
26. The increasing dependency on project funding relative to unrestricted core income can also have a significant impact on the monitoring and coordination function carried out by the IUCN Secretariat Focal Points. For future scenarios, more thought should be given to exploring new options for ensuring sustained resources to support the function of coordinating and following up the implementation of Resolutions/Recommendations.

Considerations of the next steps to address issues of implementation

27. This is only the first implementation progress report following the 2016 WCC and there is an opportunity to address some of the issues before 2020. The Secretariat has developed a series of internal action points in order to start implementation on all Resolutions in 2018 and to address some of the issues linked to coordination. Working towards enabling a One-Programme approach will also be a priority.
28. The Council may wish to consider how to address the continuous funding gap, any Resolutions that would benefit from political support by the Council and generally how to accelerate the work on Resolutions facing severe challenges. In addition, the discussions taking place in the GCC Task Force on the 2020 motions process are an opportune moment to also plan ahead in order to flag funding issues and avoid raising unrealistic expectations on the feasibility of securing the financial resources required for ensuring implementation for the next set of Resolutions/Recommendations to be adopted in 2020.
 - The Council is invited to consider possible avenues for raising resources to finance implementation of the Resolutions/Recommendations that are hampered by lack of funding to be discussed at its next meeting.

- Council may wish to request the Secretariat to develop and communicate, before the next Council meeting, options on ensuring better implementability/budgeting of motions for the next WCC to be transmitted for consideration to the GCC Task Force on the 2020 motions process or to the 2020 WCC Motions Working Group.

Annex 1: Focus on subsets of Resolutions and Recommendations

29. The next sections will look at a subset of Resolutions/Recommendations, focusing on: 1. Resolutions for which implementation is completed, 2. Resolutions facing increasing challenges, 3. Resolutions explicitly mentioning Council and 4. Resolution on which implementation has not yet started. The detailed *progress reports* for all Resolutions/Recommendations can be found online on the [IUCN Resolutions Database](#).

Focus 1: Resolutions for which implementation has been completed

Implementation on 8% of Resolutions/Recommendations has been completed:

- Resolutions WCC 2016 Res 004, 005, 006, 007 and 008, which amended IUCN's Statutes or Rules of Procedures.
- WCC 2016 Res 047 *Advancing conservation and sustainable use of biological diversity in areas beyond national jurisdiction*. The UN General Assembly decided to convene an intergovernmental conference, which will consider elements which include recommendations on points listed in the Resolution.
- WCC 2016 Res 052 *Declaration of Astola Island as a Marine Protected Area*. The MPA was assigned by Pakistan.
- WCC 2016 Res 090 *Two dams on the Santa Cruz River in Argentina: Their impact on an irreplaceable ecosystem and on the hooded grebe (*Podiceps gallardoi*) population, a Critically Endangered species endemic to Argentina*. This Resolution has been already completed considering the initial request. However, in parallel of the Environmental Impact Study carried out by the Government, the constructions of the dams were approved in August/2017.
- WCC 2016 Res 092 *Urging the Congress of the Republic of Peru to shelve permanently the bill that proposes a road that will affect the Alto Purús National Park and other areas*. Implementation has stopped on this Resolution. A new National Legislation has been approved declaring of "national interest" the construction of roads in some parts of the Ucayali Department that could affect the "Alto Purus National Park" – Law 30723 (published on January 22 /2018).

Focus 2: Resolutions and Recommendations facing increasing challenges or with deadlines

A number of Resolutions/Recommendations do not have an institutional home within the IUCN Secretariat, are currently not covered by existing priorities or work plans and/or are lacking the necessary resources at the Secretariat level. This makes coordinated action difficult. As described above and below, in some cases this can be mitigated by the actions of IUCN Members or of the Commissions. Also there are a number of Resolutions, which ask that the specific action is carried out by 2020 (e.g. by the next World Conservation Congress).

Capacity within the Secretariat

- WCC 2016 Res 014 – *Combatting the illegal poisoning of wildlife* ([Progress report](#)). Asks for a comprehensive global situation analysis on poisoning of wildlife for which there is currently no programme of work in neither the Secretariat nor the SSC. Implementation will require substantial funds to carry out such a global situation analysis. The IUCN Secretariat Focal Point and SSC Focal Point decided to start with

a desk study and to work on a proposal for funding for a global situation analysis. The IUCN Council may wish to consider if there are ways to support the fundraising efforts towards this important ask of the Resolution.

- *WCC 2016 Res 026 – Conservation of intertidal habitats and migratory waterbirds of the East Asian-Australasian Flyway, especially the Yellow Sea, in a global context* ([Progress report](#)). As the programme is growing and gaining momentum there is an urgent need to ensure and secure funding for its continued implementation. At this stage IUCN has used up the funding provided by the Republic of Korea through the framework funding 2012-2016. There is a need for IUCN Council/Secretariat to explore other options to secure additional funding for this programme and ensure its functioning.
- *WCC2016 Res 046 Assessing the global applicability of the concept of ancient forests as understood in European forest policy and management*. No dedicated IUCN Secretariat Focal Point could be identified to this date, due to lack of availability and expertise.
- *WCC 2016 Res 068 – Prevention, management and resolution of social conflict as a key requirement for conservation and management of ecosystems* ([Progress report](#)). Lack of funding; Internal guidance
- *WCC 2016 Res 073 – Investments of development finance institutions: socio-environmental impacts and respect for rights* ([Progress report](#)). The IUCN Secretariat is burdened by the lack of financial and project resources to carry out this Resolution. Limited actions have been accomplished by deploying low-cost options such as the use of volunteers. Project funds will need to be raised in order to enhance the likelihood of significant impacts on this Resolution.
- *WCC 2016 Res 078 Supporting implementation of the African Convention on the Conservation of Nature and Natural Resources and the African Agenda 2063* ([Progress report](#)). Need for engagement strategy at Secretariat level.
- *WCC 2016 Res 089 – Energy efficiency and renewable energy to promote the conservation of nature* ([Progress report](#)). At the activity level, implementation of projects is often hampered by the capacity strains placed on government focal points and other stakeholders in the Oceania Region.
- *WCC 2016 Res 095 – Support for peace and nature in Colombia* ([Progress report](#)). Lack of financial resources is one obstacle for the implementation of this Resolution (considering also that this issue was not included in the “IUCN-South America Work Plan”). This is a key theme for Colombia at the moment (and there are other actors that are better positioned in the Country, including IUCN members and partners).
- *WCC2016 Rec 104 Integrating autochthonous forest genetic diversity into protected area conservation objectives*. There is a lack of capacity on this topic within the Secretariat. Furthermore, the terms of the Resolutions are vague and there are very few tangible indicators of progress that can be derived. The Members’ Assigned Focal Point has not responded to the emails of the Secretariat Focal Point.

Resolutions that require action by a specific date

- *WCC 2016 Res 013 Terminating the hunting of captive-bred lions (*Panthera leo*) and other predators and captive breeding for commercial, non-conservation purposes*. Requests the Director General and IUCN Commissions to encourage specifically the South African Government, as well as all other southern African Governments, to support this initiative by drafting and enacting legislation by 2020. The South African Government strongly objected to the Motion and subsequent Resolution in the grounds that it is not implementable under the current legal provisions in the country. Still, South Africa and the proponents agreed to work together, through the IUCN South African National Committee mechanism to review existing legislative provisions and to draft, enact and implement new legislation by 2020 and giving reasonable time frames implement additional rules and norms. ([Progress report](#))

- *WCC 2016 Res 058 Natural Capital*. Requests the development of a discussion paper and draft IUCN policy on natural capital for circulation, consideration and adoption by the Union before the 2020 IUCN World Conservation Congress. The working group to carry out this work has not been established yet. For this and more regionalized/localized consultation process some funding is needed which has not yet been secured. ([Progress report](#))
- *WCC 2016 Res 068 Prevention, management and resolution of social conflict as a key requirement for conservation and management of ecosystems*. Requests development of a proposal for a policy framework for IUCN, building on existing Resolutions and experience from IUCN Programmes, Commissions and Members, which establishes an approach to conflict prevention and resolution for consideration at the next session of the IUCN World Conservation Congress (2020). Discussions have started in order to identify next steps. Still, the lack of funding hampers the development of this. ([Progress report](#))

Focus 3: Resolutions explicitly mentioning the IUCN Council

As presented at the 92nd meeting of the IUCN Council, a number of Resolutions specifically identify the Council as one actor in the implementation of those Resolutions. In some cases this means simply that the Council should be kept informed about the implementation of a given Resolution, while in others it requires/will require specific action by the Council. The table below provides more details on the status of implementation of those 11 Resolutions which the PPC follows.

Implementation not started.

Initiated: first stages of implementation.

Underway: implementation well-advanced.

Ongoing: implementation consisting of repetitive, recurrent action (attending meetings, reporting, etc.).

Implementation completed.

Res/Rec Status	Results + Obstacles	What needs to happen next	Councils Role?
001 Identifying and archiving obsolete Resolutions and Recommendations to strengthen IUCN policy and to enhance implementation of IUCN Resolutions	Process to develop archive approved + assessment of 450 Resolutions carried out	In 2018: Secretariat classification + presentation to PPC + establishing of PPC task force In 2019: PPC task force takes final decision on classification	Review Res/Rec + create accessible archive.
018 Toward an IUCN standard classification of the impact of invasive alien species	Draft Environmental Impact Classification for Alien Taxa (EICAT) developed + union wide consultation carried out. First global EICAT assessment carried out for alien amphibians. Challenges: Capacity within the Secretariat to review the consultation response. Fundraising challenges for ISSG to implement their data integration plan.	Complete the report of the consultation results and produce a second version of the IUCN EICAT. Once this is ready, it will be submitted to the IUCN Council for consideration and adoption as an official IUCN standard. In addition, ISSG and IUCN Secretariat need to continue to raise funds to implement the data integration plan incorporating EICAT data into the GISD.	Adopt the IUCN Environmental Impact Classification for Alien Taxa standard once the consultation process is completed.
029 Incorporating urban dimensions of conservation into the work of IUCN	Scoping of key contacts within IUCNs constituency focusing on urban agenda. First meeting of IUCN Council Urban Task Force held with discussion on draft vision and goals of Urban Alliance. Challenges: Lack of funding and capacity for implementation.	Urban Task Force (UTF) to draw up a list of candidates and draft TOR for Urban Alliance steering group. UTF will organise first meeting of the Urban Alliance in early 2018 (subject to availability of resources).	Lead IUCN wide initiative Establish IUCN Urban Alliance

<p>030 Recognising and respecting the territories and areas conserved by indigenous peoples and local communities (ICCAs) overlapped by protected areas</p>	<p>These consist of policy dialogues convened under the auspices of the ICCA Consortium that has led to publication of preliminary guidance, input into policy at an international level, the establishment of a global network of ICCA Coordinators and the conduct of several regional and country studies. The IUCN Secretariat is implementing activities in 10 countries.</p> <p>Challenges: The vast scope and detail implied by this Resolution continues to pose a challenge, both financially and technically.</p>	<p>A major future action will be to identify and map, with free, prior and informed consent of all rights holders and stakeholders of the actual location of ICCAs so that areas of overlap can be determined. Establishing action plans to resolve areas and designations in dispute will be needed. Harmonizing this with new guidance on "Other Effective Area-Based Conservation Measures" will be needed.</p>	<p>Passive. Receive reports on a regular basis.</p>
<p>045 Protection of primary forests, including intact forest landscapes</p>	<p>During 2017, the Task Team was reorganised, processes improved (learning from Offsets Policy development process) and TOR have been developed. Process started to identify a chair for the group and to identify and nominate additional members in order to ensure full and adequate representation.</p> <p>Challenges: No financial resources for staff time available, preventing this from being prioritized. Fund raising to facilitate in-person meeting of all Task Team members in 2018 or 2019 is needed. Some funding has been identified but the full funding needed is still lacking.</p>	<p>Primary Forest Task Team workshop and possible meetings/workshops with Commissions and including Indigenous Peoples Members.</p> <p>Developing a draft policy statement for IUCN on primary forests and encouraging IUCN Commissions to focus specifically on primary forests.</p> <p>Providing information on the key benefits of primary forests to IUCN Commissions and their members, and on the mechanisms that are most effective in ensuring primary forest conservation.</p>	<p>Approve a policy statement once developed by the Secretariat.</p>
<p>052 Declaration of Astola Island as a Marine Protected Area</p>	<p>MFF also facilitated the consultative process to build stakeholders consensus, organised field visits of National Coordinating Body members and other relevant stakeholders to Astola Island with support from Pakistan Navy and supported in preparation of a map delineating boundaries of Astola Island MPA. As a result Astola was notified as the first MPA of Pakistan on 15 January 2017 by the Balochistan Forest & Wildlife Department.</p>	<p>Implemented. No further action necessary.</p>	<p>Contribute if necessary. No further action required.</p>
<p>056 IUCN response to the Paris Climate Change Agreement</p>	<p>Achievements under this result have included a strong engagement of IUCN at UNFCCC COP22 and 23 (building on the successes of COP21) to ensure that, working together with its members, commissions and partners, IUCN continues to highlight the importance and relevance of nature-based solutions to climate change. Progress has also been made through the securing of new pledges totalling over 160 million ha under the Bonn Challenge, strengthening of the Friends of Ecosystem-based Adaptation (FEBA) network, and IUCN's joining of key global initiatives such as the Global Peatlands Initiative and the Global Mangrove Alliance. Set up of new Climate Change Task Force of IUCN Council.</p>	<p>Full implementation will require sustained collaboration between different units across IUCN, and the continued investment of time and resources.</p>	<p>Continue with an appropriate governance mechanism to oversee development of IUCN's climate change policies and engagement. ➔ Task force set up.</p>
<p>075 Affirmation of the role of indigenous cultures in global conservation efforts</p>	<p>Member Indigenous Peoples Organisations (which now total 17) met in early March 2018 to define a self-determined strategy on how to advance indigenous issues within IUCN and in conservation This will be essential in guiding further work on this Resolution.</p>	<p>Finalizing IPO Member strategy and beginning its implementation accordingly. Continued advocacy and awareness rising on strong indigenous cultural connections of environment to people and on</p>	<p>Consider these issues in its work.</p>

	<p>CEESP Chair reports and tracks how IUCN affirms the roles of indigenous peoples in global conservation efforts and provides report to PPC at each Council meeting. The DGM and the contribution of IPLC in the NDC were highlighted at the IUCN Pavilion at the UNFCCC in Bonn in November. Indigenous issues featured at the ICOMOS 19th General Assembly and Scientific Symposium. In Hawai'i, Members provided related information, including: - HCA in Hawai'i is active in a number of capacity building initiatives around the themes of this Resolution. They will also host a Hawai'i Conservation Conference July 24-26th. In terms of policy, as described in Progress Report on 6.065, the State of Hawai'i Department of Land and Resources has been working with indigenous communities on co-governance of fisheries based on customary and traditional practices. The state passed its first full Community-based subsistence fishing area (CBSFA) designation and rule package for one region. Currently, there is a draft CBSFA proposal for other regions.</p> <p>Challenges: Issues are often place and community dependent. Working at a global level enables sharing of lessons, successes, challenges and opportunities. Maintaining an international network of IUCN and conservation colleagues focusing on these issues is necessary for the continued implementation of this Resolution. The IPO Member self-determined strategy will inform further work in regard to this Resolution.</p>	<p>related values and concepts. Also noted was the need to strengthen and safeguard indigenous languages. Plan for developing voluntary guidelines referenced in operative paragraph 2.</p>	
086 Development of IUCN policy on biodiversity conservation and synthetic biology	<p>Establishment of IUCN Synthetic Biology and Biodiversity Conservation Task Force, and appointment of its Chair, under the authority of all six IUCN Commissions and the IUCN DG.</p>	<p>With the taskforce now established, priorities are (a) drafting, Union-wide and public peer review, revision, and publication of the mandated assessment; and then (b) Union-wide consultation (eg through the 2019 Regional Conservation Fora) and drafting of the mandated policy, for consideration by Council and ultimately the 2020 WCC</p>	<p>Consider draft Policy.</p>

Focus 4: Resolution/Recommendations on which implementation has not yet started
Implementation has yet to start for seven Resolutions. Their implementation is mainly hampered by missing capacity and resources within the Secretariat as well as a missing coordination with other IUCN constituencies that should be involved in their implementation. While in various cases IUCN Members or Commissions can take the lead to implement a Resolution for which there is no capacity within the Secretariat, this is not possible due to coordination issues for these seven Resolutions.

Res/Rec	Report	Future actions needed	Planned?	Main Challenges/obstacles
WCC 2016 Res 010 Conservation of Amur tiger (<i>Panthera tigris</i>)	Very little activity has taken place to date except for brief meetings and discussion within the IUCN secretariat, mainly the China Office and Asia Regional Office. Some	Initial and formal networking meeting to identify resources and roles and responsibilities	No	Capacity in Secretariat. Coordination. Lack of response from Members' assigned focal point.

altaica) and Amur leopard (Panthera pardus orientalis) in Northeast Asia	discussion has taken place with WCS (IUCN Member) and Cat Specialist Group.			
WCC 2016 Res 027 Strengthening the implementation of the Bern Convention for migratory bird species	No information on the implementation of the resolution was received from members. However, based on knowledge from the SSC, there is some cooperation between Members and support from Members of the implementation of the Bern Convention, such as cooperation between NGO members and support for the implementation of the CMS African-Eurasian Migratory Landbirds Action Plan. However, specific examples of cooperation that directly relate to this Resolution are not known at this stage.	The Bern Convention continues to deserve greater international awareness, and monitoring of implementation of the convention continues to be lacking. However, with little information from Members as to the implementation of the resolution, it is difficult to state clearly what future actions are needed, and so more engagement from Members on this Resolution is also required.	No	Coordination: No information on the implementation of the resolution was received from members. Based on knowledge from the SSC, one obstacle is the unwillingness of Parties to conventions (including the Bern Convention) to agree to provide required funds through budget increases. No dedicated IUCN secretariat work currently
WCC 2016 Res 048 International biofouling	No action (as far as I know)	no info	No	Coordination Lack of capacity within Secretariat
WCC 2016 Res 068 Prevention, management and resolution of social conflict as a key requirement for conservation and management of ecosystems	Discussions between CEESP and Secretariat have taken place to identify next steps.	Internal review to map peace and conflict work within IUCN and propose directions moving forward - Discussion during a dedicated workshop at the CCRN Halifax Conference 26-28 May 2018	Yes	Funding: Lack of funding; Internal guidance
WCC 2016 Res 074 Reinforcing the principle of non-regression in environmental law and policy	The IUCN Environmental Law Centre intended to assess the potential of linking data of the Global Legal Observatory on Non-regression with ECOLEX-the Gateway to Environmental Law.	To conduct further research and training into the principle of non-regression in environmental policy and law at local, national, regional and international levels.	No	Coordination: A focal point at the WCEL needs to be appointed to lead on the implementation of the resolution.
WCC 2016 Res 082 A path forward to address concerns over the use of lead ammunition in hunting	There is no reporting from the Members' Assigned Focal Point for the implementation of this resolution. I have tried to email many times and even contacted the colleague of the focal point who is also focal point for other resolution. The Members' Assigned Focal Point of this resolution is still working for the organization but he is not answering to my emails requesting to have a discussion on the implementation of the resolution and on the reporting of the implementation. Therefore, I cannot make a progress report on how this resolution is being implemented. I also have no contact details for all the other organizations who co-sponsor to implement this resolution.	Planning to have a discussion with the Members' Assigned Focal Point and the Commission Focal Point in March 2018 if possible.	Yes	Coordination: Cannot communicate with the focal point Summary of relevant information for WCC-2016-Res-082 Members' Assigned Focal Point. Many emails have been sent to the focal point but there have been no responses from him. I have contacted his colleague who is also a focal point to another resolution and was informed that he is still working there at SEO/Birdlife, but he is not answering emails. I have also contacted the Commission focal point for this resolution who knows the Members' Assigned Focal Point to try to organize a group call to discuss the implementation of this resolution and we are still waiting for an answer from the

				Members' Assigned Focal Point.
WCC 2016 Res 083 Conservation of moveable geological heritage	Limited direct results to date, and no reports from involved IUCN members were submitted. A WCPA best practice guideline on geoh heritage and protected areas is advancing but still at a pre-draft stage. Financial support for its preparation has been secured by the Secretariat from the Republic of Korea (Cultural Heritage Administration). The WCPA Geoh heritage Specialist Group (GSG) will convene in April to discuss its work programme. The main IUCN members behind this resolution will be represented, possibly leading to its discussion. However the scope of the resolution is beyond the mandate of WCPA.	As above, I consider that there is a need for a decision on the possible strategy, and whether there is the means to resource action. From a strategic point of view, a discussion on partnership with UNESCO is advisable.	No	Coordination/Funding: This report from the Secretariat focal point has not been able to draw on any reports from members. I consider the challenges faced relate to lack of resources, and lack of clear and broadly based IUCN constituency on this issue. In my view the most promising means to consider implementation would be to discuss a partnership approach with UNESCO Science Sector.

Annex 2

Activities tracked

Based on previous reports on the implementation of the 2012 Jeju Resolutions, and on IUCN Regulations paragraph 2, activities have been roughly classified and defined as follow:

- **Field activities:** Include activities such as implementation/support projects, develop, test and demonstrate sound practices for the conservation and sustainable use of species and ecosystems, monitor and assess what biological diversity exists.
- **Scientific activities:** Include activities such as data collection, research, monitoring of species and ecosystems, development of new methodologies, etc. Examine how species and ecosystems function.
- **Education/Communication/Raising awareness:** Include activities such as dissemination of information, preparation, publication and distribution of documents, legislative texts, guidelines, scientific studies and other information; increase public awareness of the conservation of nature and natural resources through education; side-events or the development of various communication strategies.
- **Fundraising:** Includes all activities destined to raising funds: creation/mobilization of funds, pledges, agreements with donors, sponsoring, grants, etc.
- **Policy influencing:** Include activities such as: advocacy, influencing governments and other actors, developing new policy approaches, negotiations/discussions, diplomacy; assisting in the development and improvement of legislation relating to conservation; encourage governments to adhere to and implement international agreements relating to conservation, establishing governance structures (multi-stakeholders dialogues, task force, governmental bodies, etc.).
- **Convening stakeholders/networking:** Developing new alliances/partnerships, support congresses, identification/invitation of new members, organize meetings, create and/or develop networks, convene stakeholders in various settings.
- **Capacity-building:** Building capacity through workshops, promote the training of conservationists at all levels and the engagement of local communities, developing of training materials.

Annex 3: List of Hawai'i Resolutions and Recommendations

* **Resolutions** requiring specific action by Council (followed-up to by PPC)

** **Resolutions** requiring specific action by Council (followed-up to by GCC)

Code	Title
WCC-2016-Res-001 *	Identifying and archiving obsolete Resolutions and Recommendations to strengthen IUCN policy and to enhance implementation of IUCN Resolutions
WCC-2016-Res-002 **	IUCN Global Group for National and Regional Committee Development
WCC-2016-Res-003 **	Including regional governments in the structure of the Union
WCC-2016-Res-004	Including indigenous peoples' organisations in the structure of the Union
WCC-2016-Res-005	Election of the IUCN President
WCC-2016-Res-006	Members' Assembly's sole authority to amend the Regulations pertaining to the objectives, nature of the membership and membership criteria (follow-up to decision 22 of the 2012 World Conservation Congress)
WCC-2016-Res-007	Enhanced practice and reforms of IUCN's governance
WCC-2016-Res-008	Proposed amendment to Article 6 of the IUCN Statutes concerning the dues of State and political/economic integration organisation Members adhering to IUCN
WCC-2016-Res-009	Conservation of the Helmeted Hornbill (<i>Rhinoplax vigil</i>)
WCC-2016-Res-010	Conservation of Amur tiger (<i>Panthera tigris altaica</i>) and Amur leopard (<i>Panthera pardus orientalis</i>) in Northeast Asia
WCC-2016-Res-011	Closure of domestic markets for elephant ivory
WCC-2016-Res-012	Giraffids: reversing the decline of Africa's iconic megafauna
WCC-2016-Res-013	Terminating the hunting of captive-bred lions (<i>Panthera leo</i>) and other predators and captive breeding for commercial, non-conservation purposes
WCC-2016-Res-014	Combatting the illegal poisoning of wildlife
WCC-2016-Res-015	Greater protection needed for all pangolin species
WCC-2016-Res-016	The IUCN Red List Index for monitoring extinction risk
WCC-2016-Res-017	Actions to avert the extinction of the vaquita porpoise (<i>Phocoena sinus</i>)
WCC-2016-Res-018 *	Toward an IUCN standard classification of the impact of invasive alien species
WCC-2016-Res-019	Protection of wild bats from culling programmes
WCC-2016-Res-020	Strengthening pathway management of alien species in island ecosystems
WCC-2016-Res-021	Monitoring and management of unselective, unsustainable and unmonitored (UUU) fisheries
WCC-2016-Res-022	Conservation measures for vultures, including banning the use of veterinary diclofenac
WCC-2016-Res-023	Protection for the serranids and syngnathids occurring off the Spanish coasts
WCC-2016-Res-024	Supporting the Brazilian Red-Listing process and the conservation of threatened species
WCC-2016-Res-025	Recognising, understanding and enhancing the role of indigenous peoples and local communities in tackling the illegal wildlife trade crisis

WCC-2016-Res-026	Conservation of intertidal habitats and migratory waterbirds of the East Asian-Australasian Flyway, especially the Yellow Sea, in a global context
WCC-2016-Res-027	Strengthening the implementation of the Bern Convention for migratory bird species
WCC-2016-Res-028	Recognising the Centennial of the US National Park Service
WCC-2016-Res-029 *	Incorporating urban dimensions of conservation into the work of IUCN
WCC-2016-Res-030 *	Recognising and respecting the territories and areas conserved by indigenous peoples and local communities (ICCAs) overlapped by protected areas
WCC-2016-Res-031	World Parks Congress 2014: The Promise of Sydney
WCC-2016-Res-032	Achieving representative systems of protected areas in Antarctica and the Southern Ocean
WCC-2016-Res-033	Recognising cultural and spiritual significance of nature in protected and conserved areas
WCC-2016-Res-034	Observing protected area norms in the Wild Heart of Europe
WCC-2016-Res-035	Transboundary cooperation and protected areas
WCC-2016-Res-036	Supporting privately protected areas
WCC-2016-Res-037	Harmonising the integrated management of overlapping Ramsar Sites, World Heritage sites, Biosphere Reserves and UNESCO Global Geoparks
WCC-2016-Res-038	Establishing an IUCN and World Commission on Protected Areas (WCPA) Task Force on Protected Area Friendly System
WCC-2016-Res-039	Protected areas as natural solutions to climate change
WCC-2016-Res-040	Support for Forest Landscape Restoration (FLR) in Africa
WCC-2016-Res-041	Identifying Key Biodiversity Areas for safeguarding biodiversity
WCC-2016-Res-042	Protection of biodiversity refuge areas in the Atlantic biogeographical region
WCC-2016-Res-043	Securing the future for global peatlands
WCC-2016-Res-044	Protection, restoration and sustainable use of urban water bodies in India
WCC-2016-Res-045 *	Protection of primary forests, including intact forest landscapes
WCC-2016-Res-046	Assessing the global applicability of the concept of ancient forests as understood in European forest policy and management
WCC-2016-Res-047	Advancing conservation and sustainable use of biological diversity in areas beyond national jurisdiction
WCC-2016-Res-048	International biofouling
WCC-2016-Res-049	Promoting regional approaches to tackle the global problem of marine debris (litter)
WCC-2016-Res-050	Increasing marine protected area coverage for effective marine biodiversity conservation
WCC-2016-Res-051	Ecological connectivity on the north coast of the Alboran Sea
WCC-2016-Res-052 *	Declaration of Astola Island as a Marine Protected Area
WCC-2016-Res-053	Protecting coastal and marine environments from mining waste
WCC-2016-Res-054	Protecting the world's greatest salmon fishery in Bristol Bay, Alaska from large-scale mining
WCC-2016-Res-055	Concerns about whaling under special permits
WCC-2016-Res-056 *	IUCN response to the Paris Climate Change Agreement
WCC-2016-Res-057	Take greater account of the ocean in the climate regime
WCC-2016-Res-058	Natural Capital
WCC-2016-Res-059	IUCN Policy on Biodiversity Offsets

WCC-2016-Res-060	Improving standards in ecotourism
WCC-2016-Res-061	Mitigating the impacts of oil palm expansion and operations on biodiversity
WCC-2016-Res-062	The 2030 Agenda for Sustainable Development: integration of conservation into development
WCC-2016-Res-063	Avoiding extinction in limestone karst areas
WCC-2016-Res-064	Strengthening cross-sector partnerships to recognise the contributions of nature to health, well-being and quality of life
WCC-2016-Res-065	Community Based Natural Resource Management in the State of Hawai'i
WCC-2016-Res-066	Strengthening corporate biodiversity measurement, valuation and reporting
WCC-2016-Res-067	Best practice for industrial-scale development projects
WCC-2016-Res-068	Prevention, management and resolution of social conflict as a key requirement for conservation and management of ecosystems
WCC-2016-Res-069	Defining Nature-based Solutions
WCC-2016-Res-070	Crimes against the environment
WCC-2016-Res-071	Global Judicial Institute for the Environment
WCC-2016-Res-072	Enabling the Whakatane Mechanism to contribute to conservation through securing communities' rights
WCC-2016-Res-073	Investments of development finance institutions: socio-environmental impacts and respect for rights
WCC-2016-Res-074	Reinforcing the principle of non-regression in environmental law and policy
WCC-2016-Res-075 *	Affirmation of the role of indigenous cultures in global conservation efforts
WCC-2016-Res-076	Improving the means to fight environmental crime
WCC-2016-Res-077	Environmental courts and tribunals
WCC-2016-Res-078	Supporting implementation of the African Convention on the Conservation of Nature and Natural Resources and the African Agenda 2063
WCC-2016-Res-079	Request for an Advisory Opinion of the International Court of Justice on the principle of sustainable development in view of the needs of future generations
WCC-2016-Res-080	System of categories for indigenous collective management areas in Central America
WCC-2016-Res-081	Humanity's right to a healthy environment
WCC-2016-Res-082	A path forward to address concerns over the use of lead ammunition in hunting
WCC-2016-Res-083	Conservation of moveable geological heritage
WCC-2016-Res-084	Environmental education and how to naturalise the spaces in educational centres for healthy development and a better childhood connection with nature
WCC-2016-Res-085	Connecting people with nature globally
WCC-2016-Res-086 *	Development of IUCN policy on biodiversity conservation and synthetic biology
WCC-2016-Res-087	Awareness of connectivity conservation definition and guidelines
WCC-2016-Res-088	Safeguarding indigenous lands, territories and resources from unsustainable developments
WCC-2016-Res-089	Energy efficiency and renewable energy to promote the conservation of nature

WCC-2016-Res-090	Two dams on the Santa Cruz River in Argentina: Their impact on an irreplaceable ecosystem and on the hooded grebe (<i>Podiceps gallardoi</i>) population, a Critically Endangered species endemic to Argentina
WCC-2016-Res-091	South Atlantic Whale Sanctuary
WCC-2016-Res-092	Urging the Congress of the Republic of Peru to shelve permanently the bill that proposes a road that will affect the Alto Purús National Park and other areas
WCC-2016-Res-093	Vicuña (<i>Vicugna vicugna</i>) conservation and the illegal trade in its fibre
WCC-2016-Res-094	Support for increased conservation effort for Hawaii's threatened birds
WCC-2016-Res-095	Support for peace and nature in Colombia
WCC-2016-Res-096	Safeguarding space for nature and securing our future: developing a post-2020 strategy
WCC-2016-Rec-097	Pacific region climate resiliency action plan
WCC-2016-Rec-098	Preventing electrocution and collision impacts of power infrastructure on birds
WCC-2016-Rec-099	Promotion of Anguillid eels as flagship species for aquatic conservation
WCC-2016-Rec-100	Management and regulation of selective intensive breeding of large wild mammals for commercial purposes
WCC-2016-Rec-101	Improving the conservation and management of the silky shark, the thresher sharks and mobula rays
WCC-2016-Rec-102	Protected areas and other areas important for biodiversity in relation to environmentally damaging industrial activities and infrastructure development
WCC-2016-Rec-103	Establishment, recognition and regulation of the career of park ranger
WCC-2016-Rec-104	Integrating autochthonous forest genetic diversity into protected area conservation objectives
WCC-2016-Rec-105	Cooperation between the protected areas of the Guiana Shield and northeastern Amazonia
WCC-2016-Rec-106	Cooperation for the conservation and protection of coral reefs worldwide
WCC-2016-Rec-107	Integration of nature-based solutions into strategies to combat climate change
WCC-2016-Rec-108	Financing for biodiversity projects in the European Union's outermost regions and overseas countries and territories
WCC-2016-Rec-109	Aloha+ Challenge Model for Sustainable Development
WCC-2016-Rec-110	Strengthening business engagement in biodiversity preservation
WCC-2016-Rec-111	Increase resources for biodiversity conservation research
WCC-2016-Rec-112	Development of offshore renewable energy and biodiversity conservation



94th Meeting of the IUCN Council, Gland (Switzerland), 29 April – 2 May 2018

Programme and Policy Committee

Agenda Item PPC43/5

IUCN Council's Global Oceans Focal Person: draft terms of reference and report by Peter Cochrane

Origin: Peter Cochrane, IUCN Council's Global Oceans Focal Person

REQUIRED ACTION

The Programme and Policy Committee is invited to consider the draft terms of reference for the IUCN Council Global Oceans Focal Person, and subject to any amendment, adopt them.

Background:

The IUCN Regulations provide:

45bis Council shall appoint a member of Council as the IUCN Council Global Oceans Focal Person.

COUNCIL DECISION C/93/7

The Council, on the recommendation of the Programme and Policy Committee (PPC), appoints Peter Cochrane as the IUCN Council Global Oceans Focal Person and tasks him with the development of draft terms of reference for the position, to be decided by PPC.

Context:

Why are oceans important for IUCN?

- Oceans cover 70% of our planet's surface, and over two thirds of the oceans lie beyond national jurisdictions
- The oceans produce nearly half of the oxygen we breathe, and have absorbed 30% of the anthropogenic emissions of CO₂ and around 93% of the added heat arising from human-driven changes to the atmosphere
- There is no solution to global climate change without action on the world's oceans
- Many Island Countries and Territories are large oceanic entities and are at the frontline of a changing climate and sea level rise
- More than 1,127 marine species face a high risk of extinction, based on the IUCN Red List of Threatened Species
- Mangroves provide ecosystem services worth up to US\$57,000 ha/year and help mitigate and adapt to climate change
- 12.7% of the waters under national jurisdiction and 5.1% of the global oceans are managed as Marine Protected Areas (MPAs)
- Ship strikes, fisheries by catch and entanglement with fishing gear are major causes of mortality of many endangered marine species
- Underwater noise from human activities varies across ocean basins, but has

- increased in some regions by 3 decibels per decade and continues to increase in many regions globally, altering mammal and fish behaviour
- invasive alien species are the second biggest driver of species extinctions globally, and the number of new introductions show no signs of slowing, with one new marine biological invasion being reported every nine weeks
 - 55% of the world's oceans are subject to industrial fishing
 - Illegal, unregulated and unreported fishing in combination with fishing practices that destroy habitats and overfishing has reduced populations of many commercial fish and other marine species to critically low levels
 - Over 8 million metric tonnes of plastic enter the ocean annually, and other land-based sources of marine pollution (sediments, nutrients, pesticides and other industrial chemicals) are impacting biodiversity at increasing scales and entering food chains
 - Poorly regulated deep sea mining has emerged as a significant threat to biodiversity and unique habitats
 - Oceans governance is largely sectorial (e.g. fishing, shipping, mining) and with poor integration and coordination between sectors
 - The UNGA agreed in 2017 to develop an international legally binding instrument on biodiversity beyond national jurisdictions

As a result of these and other issues oceans and ocean conservation are receiving increasing attention at global, regional and national levels, by governments, NGOs, intergovernmental agencies and organisations, the media, and elements of the corporate sector.

Oceans issues receiving attention by IUCN include:

- Climate change – consequences of ocean warming, acidification, deoxygenation, sea level rise, blue carbon
- Biodiversity conservation and marine protected areas
- Threatened marine species
- Fisheries management
- Marine debris, and plastics in particular
- Disaster risk reduction through nature-based solutions
- Livelihoods and sustainable use
- Deep sea mining
- Governance (within and beyond national jurisdictions)
- Public awareness and support for action for healthy oceans

Recent IUCN World Conservation Congress Resolutions:

Hawaii 2016: 11 marine resolutions (climate, whaling, mining waste, MPAs, marine debris, bio fouling, Biodiversity in areas Beyond National Jurisdictions (BBNJ), flyways, Illegal Unregulated and Unreported (IUU) fishing, renewable energy, coral reefs)

Jeju 2012: 24 resolutions (plastic waste, diving, mining, phytoplankton, Locally Managed Marine Areas (LMMA), MPAs, governance, BBNJ, Disaster Risk Reduction (DRR), livelihoods, connectivity, Red List, Aichi Target 11, fungi, tuna x 2, renewable energy, coastal fishing, ecosystem approach, Great Barrier Reef, mako sharks, sharks, mackerel, turtles)

Barcelona 2008: 18 resolutions (climate change, livelihoods, governance, connectivity, MPAs, BBNJ, tuna, fisheries and whales, vaquita porpoise, monk seals, dugong, coasts, IUU fishing, fisheries management, International Whaling Commission (IWC), shark finning, oceanic sharks, turtles and sharks)

Bangkok 2004: 12 resolutions (western grey whale, atomic power stations, noise, fisheries management, BBNJ x 2, freshwater PAs, PA categories, shark finning, reef fish, deep sea habitats)

Current IUCN activities and priorities are developed and delivered through:

1. The IUCN Global Marine and Polar Programme with the following focus areas:

(<https://www.iucn.org/theme/marine-and-polar/our-work>)

- Climate Change and Oceans
 - Conserving Threatened Species
 - EU overseas
 - Marine Protected Areas
 - Polar Activities
 - Securing Coastal Livelihoods
 - Coral Reefs
 - International ocean governance
 - Marine Plastics
-

2. A diversity of Regional Office programmes, projects and initiatives on marine and coastal environments (conservation, ecological restoration, threatened species conservation, disaster risk reduction, improved governance and management, capacity building)

3. IUCN Commissions and their Taskforces, themes and Specialist Groups, including

- WCPA (High Seas Specialist Group)
- WCPA marine theme
- WCEL (Oceans, Coasts and Coral Reefs Specialist Group)
- SSC – at least a dozen Specialist Groups focused on marine taxa

Proposed terms of reference for the IUCN Council Global Oceans Focal Person:

1. to raise the profile and understanding of oceans issues in Council, and to help raise the profile of IUCN's work on oceans issues with key external stakeholders in close collaboration with Commissions and the Secretariat
2. to help ensure that there is strong focus and coherent body of work on oceans issues across IUCN by liaising with the Secretariat and Commissions and bringing her/his perspective and advice to the PPC and Council including relevant policy and resourcing implications
3. to report to Council through PPC (as part of the presentation of the PPC report to Council).

The FP may request the Secretariat and Commissions for information that is not yet available from existing reports and public communications provided that it can be generated with resources provided in the approved (project or core) budget.

Any expenses incurred in the exercise of the FP's duties must be within the approved budget (core or projects) or covered by new (additional) resources.

Appendix A - Current and future potential oceans initiatives and avenues for action

Appendix A

Current and future potential oceans initiatives and avenues for action include:

- UNFCCC - The Ocean Pathway – launched at UNFCCC COP23
- The UN Intergovernmental Conference on the conservation and sustainable use of marine biological diversity of areas beyond national jurisdiction
- UN High Level Political Forum - the reporting and review mechanism for progress on the SDGs (especially SDG14)
- CBD – marine and coastal programme of work; review of Aichi target outcomes, and development of post Aichi targets
- World Heritage Convention (WH), marine programme, marine WH sites – protection of common heritage beyond national jurisdictions
- Red List – conservation of marine species
- RAMSAR – coastal and marine sites
- CITES – listed marine species
- Convention on Migratory Species – listed migratory species
- International Seabed Authority – environmental impact assessment and regulation of mining
- UNEP Regional Seas Programmes
- Regional Fisheries Management Organisations (RFMOs) – integration of conservation as a key management objective
- Our Oceans Conference (Palau 2020)
- IUCN World Conservation Congress 2020
- IUCN Commission activities and initiatives
- World Economic Forum – oceans as a global issue
- World Business Council on Sustainable Development – roadmap for reducing ocean waste
- UN Global Compact – to engage leading corporates in action on SDG14
- Numerous ocean conferences and workshops
- Alliances between organisations
- Private and philanthropic initiatives