



102ª Reunión del Consejo de la UICN
Por teleconferencia, el 1 de diciembre de 2020

DECISIONES

Dec. #	Decisión del Consejo
Orden del día (Punto 1 del Orden del Día)	
C102/1	El Consejo de la UICN, <u>Aprueba</u> el orden del día de su 102ª Reunión, en su forma revisada. (Anexo 1)
Objetivos estratégicos del Director General para 2021 (Punto 2.2 del Orden del Día)	
C102/2	El Consejo de la UICN, <u>Aprueba</u> los Objetivos Estratégicos del Director General para 2021. (Anexo 2)
Plan de Trabajo y Presupuesto de la UICN para 2021 (Punto 3 del Orden del Día)	
C102/3	El Consejo de la UICN, <i>Por recomendación</i> del Comité de Programa y Políticas, <u>Toma nota</u> del proceso para desarrollar el Plan de Trabajo 2021 ¹ , y <u>Pide</u> a la Secretaría que presente el Plan de Trabajo tan pronto como esté listo, en marzo de 2021, para aprobación por el Consejo mediante el proceso más rápido posible disponible en ese momento.
C102/4	El Consejo de la UICN, <i>Por recomendación</i> del Comité de Finanzas y Auditoría, <u>Aprueba</u> el presupuesto 2021 (Anexo 3), y <u>Pide</u> al Director General que prepare: 1) un análisis de sensibilidad basado en supuestos menos optimistas; y 2) un plan de implementación de la estrategia financiera.
Estándar de la Lista Verde de la UICN de Áreas Protegidas y Conservadas (Punto 5.2 del orden del día - Informe del Comité de Programa y Políticas)	
C102/5	El Consejo de la UICN, <i>Por recomendación</i> del Comité de Programa y Políticas, <u>Aprueba</u> el Estándar de la Lista Verde de la UICN de Áreas Protegidas y Conservadas. (Anexo 4)
Congreso Mundial de la Naturaleza de la UICN (Punto 6 del Orden del Día)	

¹ El proceso se describe en el Informe del Comité de Programa y Políticas, cf. Anexo ... de la decisión C102/.. (págs. 1 y 2)

C102/6	<p>El Consejo de la UICN, <i>Por recomendación</i> del Comité de Organización del Congreso 2020, <u>Decide</u> que no se considerará ningún otro aplazamiento del Congreso más allá de las nuevas fechas, en 2021, que se determinarán en consulta con el gobierno francés; <u>Solicita</u> que la Secretaría y el País Anfitrión propongan una fecha límite al mismo tiempo que las nuevas fechas previstas para el Congreso e informen de su análisis de la situación y de los riesgos al COC a tiempo para que éste y el Consejo tomen una decisión antes de dicha fecha límite.</p>
C102/7	<p>El Consejo de la UICN, <u>Considera</u> que el Congreso de Marsella previsto para 2021 constituye la sesión ordinaria del Congreso Mundial. Sin embargo, a la luz de la incertidumbre sobre si será posible celebrar o no un Congreso presencial, el Consejo pide a la Secretaría que se prepare para un Congreso presencial y, si esta opción no fuera posible, para un proceso virtual para cumplir con los procesos/asuntos estatutarios esenciales del Congreso, elecciones, mociones, etc. En ambos casos, nos esforzaríamos por asegurar, con cualquier ayuda técnica, que todos los Miembros elegibles pudieran acceder al Congreso y participar en los procesos estatutarios esenciales. Todas las decisiones se tomarán en consulta con el País Anfitrión. Estas decisiones y la justificación de las mismas se comunicarán a los Miembros de la UICN así como a los candidatos.</p>
<p>Aprobación de los informes de los comités permanentes del Consejo y del Comité de Organización del Congreso</p>	
C102/8	<p>El Consejo de la UICN, <i>Por recomendación</i> de los comités permanentes del Consejo y del Comité de Organización del Congreso, <u>Aprueba</u> los informes escritos de los comités permanentes del Consejo de la UICN y del Comité de Organización del Congreso, revisados por las decisiones de la 102ª reunión del Consejo:</p> <ol style="list-style-type: none"> 1. Comité de Programa y Políticas (Anexo 5) 2. Comité de Finanzas y Auditoría (Anexo 6), y 3. Comité de Organización del Congreso (Anexo 7) <p><u>Solicita</u> al Comité de Organización del Congreso que, además de preparar el proyecto de Programa de la UICN 2021-2024 para someterlo a votación electrónica del 27 de enero al 10 de febrero de 2021, considere la posibilidad de una enmienda o adición al Programa sobre la respuesta de la UICN a la Covid-19 para su discusión y aprobación en el Congreso Mundial de la Naturaleza de la UICN en Marsella.</p>



102nd Meeting of the IUCN Council

By conference call on 1 December 2020 at 10.00 AM UTC

Agenda

Agenda Item 1: Introduction by the President and approval of the agenda

Following the 99th Council meeting (11 August 2020) which focused on Covid-19, the 100th meeting (14 September 2020) which focused on the 2020 Congress, and the 101st meeting which will deal with the question of when to hold the elections, Council will, during its 102nd meeting, focus on its oversight, strategic direction and fiduciary responsibilities as it usually does during its 2nd (physical) ordinary meeting of the year.

Agenda Item 2: Report of the Director General

2.1 Report of the Director General

2.2 Director General's strategic orientations/objectives for 2021

Agenda Item 3: IUCN Work Plan and Budget 2021

3.1 Work Plan 2021

3.2 Budget 2021

3.2.1 Recommendations of the FAC on the Budget 2021

3.2.2 Comments by the IUCN Treasurer

Agenda Item 4: Performance of the Commissions (SSC, WCEL and WCPA)

Break

Agenda Item 5: Reports and recommendations from the standing committees

5.1 Governance and Constituency Committee (GCC)

1. Proposals in follow-up to the Council's Response to the External Review of IUCN's Governance. *(for Council approval)*

5.2 Programme and Policy Committee (PPC55)

1. Process for the development of the 2021 Work Plan *(for Council approval)*
2. IUCN Annual Progress Report 2019
3. Green Status of Species Standard proposed by SSC *(for Council approval)*
4. Report from the Council's Global Oceans Focal Person
5. Follow-up on the 2016 Congress Resolutions requiring action from Council
6. Update on the online discussion of the draft IUCN Programme 2021-24 incl. any revisions proposed in relation to IUCN's response to COVID-19
7. Update on evaluations
8. Any other business

5.3 Finance and Audit Committee (FAC74)

1. Agenda
2. Financial update for 2020 and forecast for the year
3. Congress update
4. Resource mobilisation update
5. Review of the 2021 budget *(for Council approval)*
6. Report of the Head of Oversight
7. Report of the Risk Officer, including report of the FAC risk working group
8. Report of the Legal Advisor

Agenda Item 6: IUCN World Conservation Congress

6.1 Recommendations from the Secretariat and CPC pursuant to a request from the CPC (Report 8 September 2020) and the Bureau (decision B88/1 - 9 September 2020) on:

- a process how/when to decide whether or not to hold the Congress on the new dates, and
- the feasibility and cost of holding the Forum by virtual means in case it cannot be held on the new dates

6.2 Follow-up to the 101st Council Meeting

Agenda Item 7: Celebration of the 60th anniversary of the IUCN World Commission on Protected Areas (WCPA)



Director General's Strategic Objectives for 2021

Introduction:

This document presents the Director General's Strategic Objectives for 2021, which have been formulated in line with his vision for IUCN, presented at the 102nd Council (1 December 2020) in the Director General's Report to Council, and with:

- the One Programme Charter;
- the IUCN Council Handbook (item §62 v1.1 October 2018) that establishes that the Director General's performance objectives are to be formulated along five core areas ('perspectives');
- the IUCN Council's response to the External Governance Review (2019) that established the need to add "People Management" as a sixth core area.

The Director General (DG)'s vision for IUCN, which brings together both inward- and outward-facing perspectives, underscore the 2021 objectives presented here and those that will follow across the quadrennium. This vision can be summarised as follows:

Inwards:

- Efficiency needs to be at the heart of IUCN's operations
- IUCN needs to re-think its finances and income streams
- A greater sense of "one Secretariat" is needed worldwide

Outwards:

- IUCN should become a more relevant and influential political actor in the international arena, showing how nature offers a sustainable way forward
- The strength of the Union lies in its expertise, its networks and its capacity to mobilise

In 2021, the DG will focus on nine high-level priorities that are structured according to the five plus one core areas established in the IUCN Council Handbook for the performance objectives of the DG:

1. Strategic Leadership in Conservation (1.1. and 1.2.)
2. Fundraising and Financial Management (2.1. and 2.2.)
3. Operational and Change Management (3.)
4. Programme Management (4.)
5. External Liaisons and Public Image (5.1. and 5.2.)
6. People Management (6.)

DG's 2021 Objectives

1. Strategic Leadership in Conservation

1.1. By the end of 2021, the DG's *Initiatives* will have begun implementation and will be contributing to:

- i. Mobilise the Union (Members and Commissions);
- ii. Raise IUCN's political profile and visibility in the global arena;
- iii. Extend IUCN's influence beyond the conservation community into the agricultural, finance and education sectors.



1.2. By the end of 2021, the IUCN Secretariat will have:

- i. Built momentum for the Post-2020 agenda, positioning the IUCN Congress as a springboard and a platform to raise ambition and commitment levels.

2. Fundraising and Financial Management

2.1. By the end of 2021, the IUCN Secretariat will have:

- i. Developed a Resource Mobilisation Strategy that:
 - a. envisages new business models and clear pathways for diversifying IUCN's income streams;
 - b. provides a rationale for investing in IUCN as a Framework Partner;
 - c. includes regional /country level components;
- ii. Sought to attract new Framework Partners;
- iii. Deployed new funding mechanisms for its "Knowledge Products".

2.2. By the end of 2021, the IUCN Secretariat will have:

- i. Taken steps to improve its cost recovery from projects, particularly aimed at the costs of corporate functions;
- ii. Defined means to direct core funding (unrestricted) towards innovation.

3. Operational and Change Management

3. By the end of 2021, the IUCN Secretariat will be making operational and managerial improvements through the:

- i. Appointment of a Deputy Director General;
- ii. Continuous oversight of the Business Continuity Plan;
- iii. Review of its capacity and structural efficiency;
- iv. Deployment of an Internal Communications Strategy;
- v. Implementation of the Information Systems Strategy.

4. Programme Management

4. By the end of 2021, the IUCN Secretariat will have:

- i. Developed a 'Nature 2030 Contributions Platform' that offers a means to capture Union-wide contributions to the IUCN Programme;
- ii. Improved its M&E capacities and tools.

5. External Liaisons and Public Image

5.1. By the end of 2021, the IUCN Secretariat will have:

- i. Established novel partnerships with private sector, education and government entities;
- ii. Expanded the IUCN Patrons of Nature initiative.

5.2. By the end of 2021, the IUCN Secretariat will have:

- i. Deployed an External Communications Strategy;



- ii. Launched a significant upgrade to the IUCN website;
- iii. Launched the Open Project Portal for greater transparency and accountability regarding the Secretariat's project portfolio;
- iv. Upgraded the way IUCN's 'publishing house' is steered and managed.

6. People Management

6. By the end of 2021:

- i. Staff will have been supported through the COVID-19 crisis;
- ii. The DG will be actively involved in strengthening the political leadership role of Regional Directors;
- iii. A staff mobility /rotation programme will have been rolled-out;
- iv. Investments will have been made in staff development programmes.



102nd Meeting of the IUCN Council

By conference call on 1 December 2020 from 10.00 AM to 2.15 PM UTC/GMT

IUCN 2021 Budget

Origin: Director General

REQUIRED ACTION

Council is invited to approve the IUCN 2021 Budget on the proposal of the Director General taking into account the recommendation of its Finance and Audit Committee.

The IUCN 2021 Budget will be discussed by the Finance and Audit Committee (FAC) on 24 November 2020.

The Director General will present the highlights of the IUCN 2020 Budget to Council (as part of his Report to Council) under Agenda Item 3.2 on 1 December 2020.

The 2021 Budget will be discussed by Council together with the recommendation of the FAC, and a decision will be taken.

Note:

The 2021 Work plan will be developed following approval of the 2021-2024 Programme by e-vote of IUCN Members (27 January to 10 February 2021) and will subsequently be presented to Council for approval.

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1. Introduction

The 2021 budget represents the first year of implementation of the 2021-2024 Financial Plan. The budget is based on the draft Financial Plan which will be approved in early 2021 by e-vote of the Membership. In the event that significant changes are made to the Financial Plan prior to its approval and in the event that such changes impact the 2021 budget, the 2021 budget will be revised and the revisions submitted to Council for approval in 2021.

Budget summary

A breakeven result is budgeted for 2021. The total budget is CHF 143m, a significant increase on the forecast for 2020 (CHF 123m), driven by a growing project portfolio and the expectation that Covid-19 restrictions will be gradually lifted during the course of 2021.

Significant investment in resource mobilisation will be made in 2021 together with initiatives to increase operational efficiency and to increase the level of operational costs funded by the project portfolio. Taken together, these initiatives will lay the ground work for building reserves in future years.

External context

The Covid-19 emergency has impacted programme implementation during the course of 2020 and could continue to do so in 2021. The impact on 2021 will depend on when a vaccine becomes widely available. In the event that the pandemic persists well into 2021, the impact on programme implementation and the financial health of IUCN could be significant.

The pandemic poses implementation challenges as on-the-ground, community based activities depend on the free movement of individuals and normal working practices. Although IUCN has been exploring new ways of working, a significant proportion of the work of IUCN require on the ground actions, either directly by IUCN staff or through its partners. Consequently, in the event that travel restrictions and the need for social distancing continue into 2021, this could impact implementation rates. There is also a risk that governments and multilateral agencies prioritise direct interventions to sustain their economies and to provide social assistance, thereby reducing available funding for conservation and environmental programmes.

Although the Covid-19 pandemic creates risks for IUCN, it also creates opportunities. The increased awareness of the linkages between a healthy planet and healthy people provides IUCN with programmatic and fundraising opportunities. The relevance of the IUCN programme to a green post-Covid economic recovery and its contribution to reducing the likelihood of future zoonotic diseases will be key to maintaining and growing funding.

Overall Financial Situation

IUCN's overall financial situation has weakened over the last four years. Unrestricted reserves have fallen from a level of CHF 19.5m at the end of 2016 to a forecast level of CHF 17.6m at the end of 2020. At the same time, risks have increased. A growing portfolio and the expansion of grant making programmes and projects implemented through partner organisations has increased the level of financial risk taken on by IUCN. The Covid-19 pandemic has also added significantly to the financial risks as it has negatively impacted programme delivery.

On a more positive note, the project portfolio has shown steady growth over the last 4 years and this is expected to continue. This has been driven to a large extent by growth in funding from the Green Climate Fund and Global Environment Facility. There has also been Growth in funding from bilateral government donors and multilateral donors, driven by a focus on large-scale programmatic initiatives that are aligned with donor priorities.

At the end of September 2020 the total value of IUCN’s project portfolio under implementation was CHF 522m, and projects in development were valued at CHF 201m, a significant increase on previous years, as shown in figure 1. The portfolio includes GEF projects totalling CHF 61m and GCF projects totalling CHF 112m.

Figure 1: Total project portfolio, CHF million

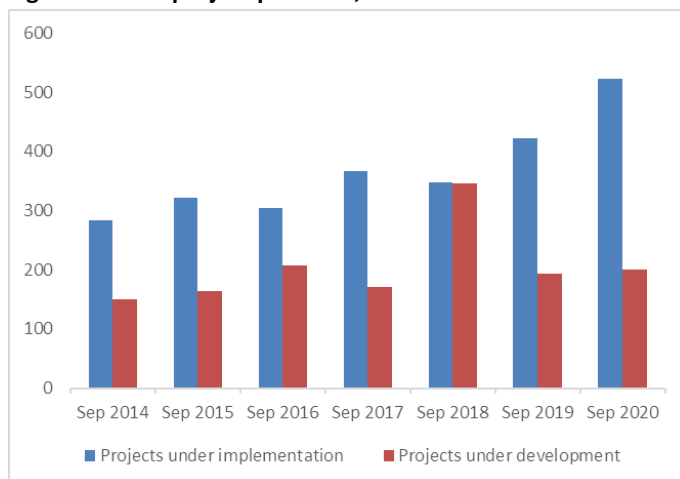


Figure 2 shows income trends over the last 7 years together with the forecast for 2020 and the budget for 2021. The most significant change is the growth in project restricted income which reflects the growth in the project portfolio. Expenditure on several large projects secured in 2019 and 2020 will ramp up in 2021.

Figure 2: Income trends, CHF million

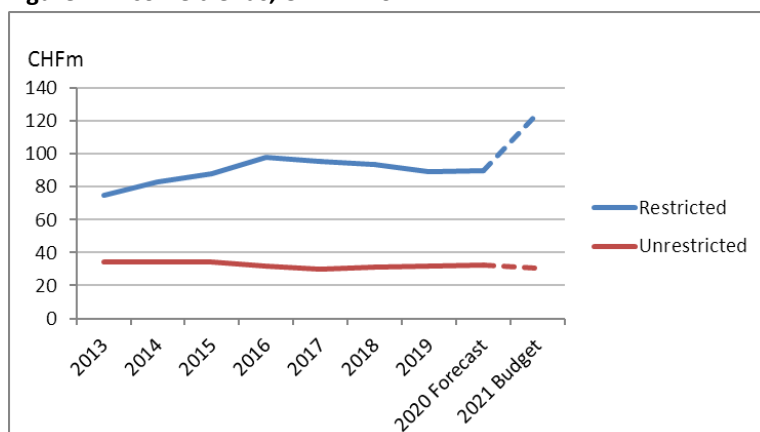
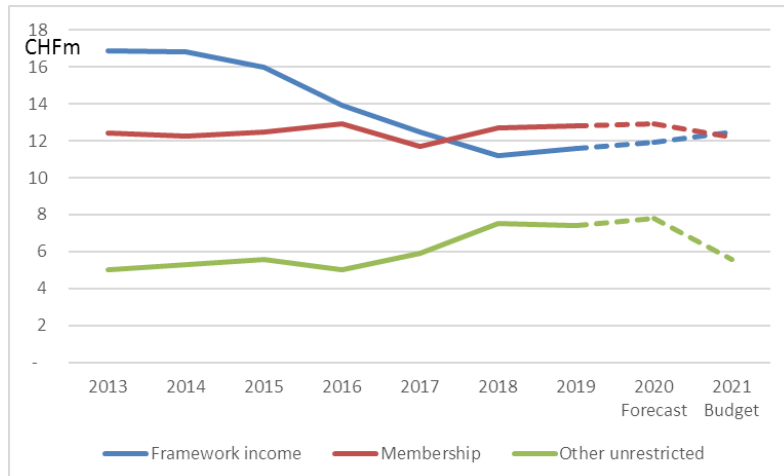


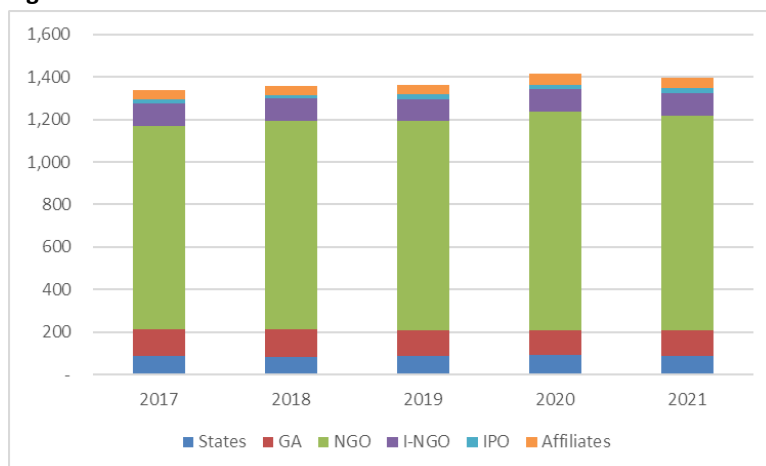
Figure 3 shows further analysis of the unrestricted income trend, broken down into its three main components: membership dues, framework income and other unrestricted income.

Figure 3: Unrestricted income trends, CHF million



Membership dues are stable. The number of Members continues to grow, though primarily in categories B and C (National and international non-governmental organisations and Indigenous Peoples' Organisations), as shown in Figure 4. Although a dip in the number of Members is expected in 2021, following the rescission of Members in arrears, this is not expected to have a significant impact on the level of Membership dues in 2021.

Figure 4: Number of Members



Framework income declined significantly over the period 2013-2018 but is now showing signs of recovery and is expected to increase marginally in 2021, as shown in Figure 3.

2. Key financial challenges

The key financial challenges faced by IUCN in 2021 are:

1. **Covid 19** could continue to impact programme implementation in the first half of 2021, and possibly longer, depending on when a vaccine becomes widely available. In respect of the project portfolio, income is earned as expenditure is incurred. Consequently, delays in implementation result in a reduction of funding for operational costs. This presents a problem for the funding of infrastructure costs, the majority of which are fixed in the short to medium term. Covid-19 could also lead to a reduction in Membership dues as a result of an increase in the risk of non-payment by Members facing financial difficulties.

2. **The 2020 Congress.** The budget assumes that the Congress will be held sometime in 2021. However, there is a significant risk that it will not go ahead as planned as it is not possible to predict the evolution of the Covid-19 pandemic. Assuming it does go ahead, the level of income that will be realised is difficult to forecast as it will depend on the willingness of people to travel and their perception of the risk of attending a major event. Postponing Congress has also added significantly to the costs of the event. Consequently, there is a significant risk that the Congress will end with a financial deficit. In the event of cancellation, and depending on the point of cancellation, a deficit of up to CHF 5 million could be realised. In the event that the Congress goes ahead but attendance is low, a deficit of between CHF 1-2 million could be realised. No provision has been made in the 2021 budget for potential Congress losses.
3. **Funding.** The bulk of IUCN’s funding, excluding Membership dues, comes from European donors. Although this has resulted in a high level of stability and predictability IUCN will need to diversify funding to ensure long term growth.
4. **Value for money, cost effectiveness and efficiency.** In order to ensure efficient and cost effective delivery of the 2021-2024 programme, IUCN will need to pursue organisational change to ensure that its structures and technical capacity are fit for purpose. Growth in the project portfolio provides opportunities for economies of scale; however, these will only be realised if the organisation is structured for efficient delivery.
5. **Reserves.** At the end of 2019 IUCN unrestricted reserves stood at CHF 17.6 million. The current reserves target stands at CHF 25 million. This will be reviewed in 2021, taking into consideration the risks faced by IUCN. A Congress deficit would result in a further reduction in IUCN reserves. This could constrain IUCN as it would reduce its ability to take on risk and develop new areas of work.

3. Implementation of the Financial Plan 2021-2024

The 2021 budget represents the first year of implementation of the Financial Plan 2021-2024. The Plan sets out a series of targets. These have been taken into consideration in the development of the 2021 budget. Table 1 - taken from the Financial Plan - shows the targets set and how they are addressed in the 2021 budget.

Table 1: Progress against Financial Plan targets

Target	Value	Period	Comment
Increase membership dues	10%	2021–2024	The Financial Plan foresees a change in the methodology for assessing the dues of category B and C Members. The change will only be applicable from 2022 and is subject to approval by the Membership. No increase is budgeted in 2021
Maintain current level of framework income	0%	2021–2024	An increase of 5% is budgeted in 2021, surpassing the target.
Increase value of project portfolio: <ul style="list-style-type: none"> • GEF/GCF • Other 	15% 5%	Year-on- year	The portfolio has increased by 17% compared to the 2020 budget, surpassing the target.

Target	Value	Period	Comment
Increase annual level of restricted income and expenditure	10%	Year-on- year	A 25% increase is budgeted compared to 2020. However, a major part of the increase relates to “catch up” in respect of delays to project implementation caused by Covid-19.
Increase level of operational costs funded by cost recovery	From 63% to 70%	2021–2024	The budget level for 2021 is 61%. Work on the full cost recovery model will be taken forward in 2021 with the objective of increasing the level of recovery.
Non-staff operating costs not to exceed 20% of total operating costs	20%	2021–2024	The budgeted level of non-staff operating costs for 2021 is 20%, in line with the target.
Grow income from foundations and philanthropy	From 9% to 12% of total income	2021–2024	An additional investment of CHF 0.5m has been made in resource mobilisation.
Grow income from private sector	From 3% to 5% of total income	2021–2024	The investment in resource mobilisation includes a position to further relationship with the private sector.
Increase reserves	CHF 3m	2021–2024	The 2021 budget does not see an increase in reserves but a significant investment is being made in resource mobilisation which should result in reserve increases in future years.

4. Budget summary

Table 2 shows the overall budget, analysed between unrestricted and restricted income and expenditure. The **Overall result** (Surplus/(deficit) budgeted for 2021 is breakeven. The total expenditure budget for 2021 is CHF 143.5m, comprising unrestricted expenditure of CHF 30.4m and restricted expenditure of CHF 113.1m. Each major budget line is described below the table.

Table 2: Budget summary

Unrestricted income and expenditure	2019	2020	2021	2021
	Actual	Forecast	Budget	Plan
Income				
Membership dues (net of provisions)	12.8	12.4	11.7	12.5
Framework income	11.6	11.9	12.5	12.6
Other unrestricted income	7.3	7.8	5.6	8.0
Total income	31.8	32.1	29.8	33.1
Expenditure				
Operating expenditure	32.0	32.7	28.7	31.1
Investments	0.0	0.0	1.7	2.0
Total expenditure	32.0	32.7	30.4	33.1
Operating result	-0.2	-0.6	-0.6	0.0
Transfers from designated reserves	0.8	0.6	0.6	0.0
Surplus/(deficit)	0.6	0.0	0.0	0.0
Restricted income and expenditure	2019	2020	2021	2021
	Actual	Forecast	Budget	Plan
Income	89.1	90.0	113.1	99.0
IUCN activities	33.1	26.7	40.2	61.6
Implementing partner activities	20.4	27.7	38.0	0.0
IUCN staff costs	29.2	28.6	27.0	37.4
Indirect costs	6.4	7.0	7.9	0.0
Expenditure	89.1	90.0	113.1	99.0
Excess of income over expenditure	0.0	0.0	0.0	0.0
Total income and expenditure	2019	2020	2021	2021
	Actual	Forecast	Budget	Plan
Income	120.9	122.1	142.9	132.1
Expenditure	121.1	122.7	143.5	132.1
Transfers from designated reserves	0.8	0.6	0.6	0.0
Surplus/(deficit)	0.6	0.0	0.0	0.0

a) Unrestricted income and expenditure

Unrestricted income is budgeted at CHF 29.8m.

Membership dues are budgeted at CHF 11.7m. This is lower than the forecast for 2020 of CHF 12.4m. The reduction takes into account Members in arrears who may be rescinded at the 2020 Congress and also the increased risk of non-payment as a result of the Covid-19 pandemic. The amount is budgeted is after deduction of a provision of CHF 0.5m for late payment or defaults.

Framework income is budgeted at CHF 12.5m. This is CHF 0.7m higher than the forecast for 2020. The budget is based on indications received from existing framework partners and one new framework partner that is expected to join in 2021.

Other unrestricted income is budgeted at CHF 5.6m. Other unrestricted income includes income from Patrons of Nature (CHF 1.4m), rental and service fee income from 3rd parties (CHF 1.5m), the in-kind value of tax exemptions (CHF 1.5m) and other sundry income (CHF 1.2m). Total unrestricted income is CHF 2.2m

lower than the forecast for 2020. The forecast for 2020 includes in-kind staff of CHF 1.0m – nothing has been included for 2021. In the event that in-kind staff are contracted there will be no impact on the result as the value of in-kind staff is included as both an income and an expense. The other key reason for the overall reduction is a reduction by regional programmes.

Unrestricted expenditure is budgeted at CHF 30.4m. This comprises:

Operating expenditure is budgeted at CHF 28.7m. This is CHF 4.0m lower than the forecast for 2020; however, this is partly due to reclassifications. Investments are disclosed as a separate line in the 2021 budget, whereas they were included in operating expenditure in 2020 and previous years. In addition, CHF 1.0m of the reduction relates to in-kind staff: nothing has been included for 2021 (see explanation under other unrestricted income). The remaining difference reflects general cost reductions. Operating expenditure includes provisions of CHF 0.5m for foreign exchange losses and project losses.

Investments from unrestricted funds are budgeted at CHF 1.7m. See section 6 for further details

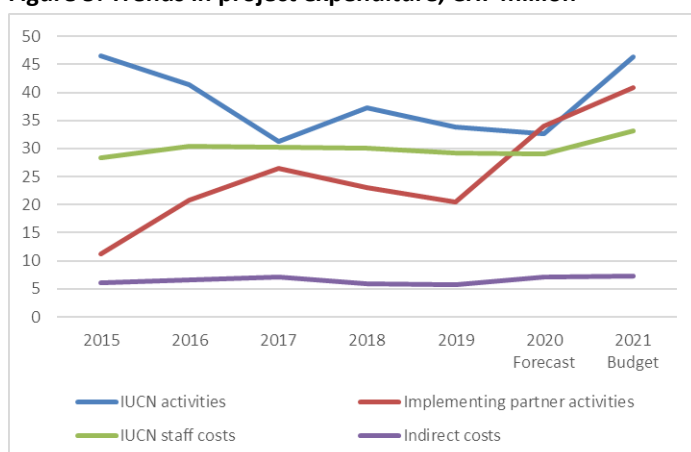
Transfers from designated reserves are budgeted at CHF 0.6m. This amount represents costs to be incurred in 2021 to be funded by designated reserves (funds set aside in previous years for specific activities in future years). The main constituent is costs to be incurred by the IUCN Commissions in relation to the 2020 Congress and the 2nd World Environmental Law Congress, both of which have been postponed and are assumed to take place in 2021.

b) Restricted income and expenditure

Restricted income and expenditure are budgeted at CHF 113.1m. IUCN recognises restricted income as expenditure is incurred and hence income and expenditure are equal. The total amount is significantly higher than the 2020 forecast (CHF 90m). The increase reflects the growth in the project portfolio, particularly in respect of GEF and GCF projects, and the fact that several major projects signed in 2019 and 2020 will enter into their main implementation phases in 2021. In addition, the Covid-19 pandemic constrained expenditure in 2020 and a degree of “catch up” is expected in 2021, provided that restrictions on the movement of people are relaxed in the regions where IUCN is most active.

As shown in fig 5, the growth in project expenditure is driven both by an increase in expenditure by implementing partners, which is budgeted to increase from CHF 27.7m in 2020 to CHF 38.0m in 2021, and a growth in IUCN activities, which is budgeted to increase from CHF 26.7m to CHF 40.2m.

Figure 5: Trends in project expenditure, CHF million



5. Analysis of the 2021 budget by funding source

Table 3 below presents the 2021 budget by funding source. This analysis shows which funding source funds which costs. The analysis provides a basis for assessing whether each funding source is being appropriately or optimally used.

The following principles have been applied:

Unrestricted income

Membership dues are used primarily to fund Union functions such as Governance, Constituency support, Congress, and support to the IUCN Commissions (51%). The balance contributes to the funding of programme support functions such as Global Communications (branding, IUCN website, media relations etc.), Strategic Partnerships (resource mobilisation) (10%) and IUCN corporate functions (39%). The latter includes the Office of the Director General, Union systems and risk provisions.

Framework income is unrestricted programmatic funding. Consequently, it is used primarily to fund functions that further the implementation of the 2021-2024 Programme, such as programme development and coordination; programme innovation and knowledge generation; and representation, relationship management and collaboration.

Other unrestricted income is used primarily to fund corporate costs. Other unrestricted income includes service income of CHF 1.3m received from IUCN tenants and in-kind income of CHF 0.5m in respect of donated assets. Both service income and in-kind income are matched with the associated costs.

Restricted income

Congress income, which comprises registration fees, exhibition sales and sponsorship income, funds Congress expenditure.

Project restricted income is income generated from the IUCN project portfolio. It funds the associated project expenditures, including IUCN staff costs associated with project delivery and indirect project costs.

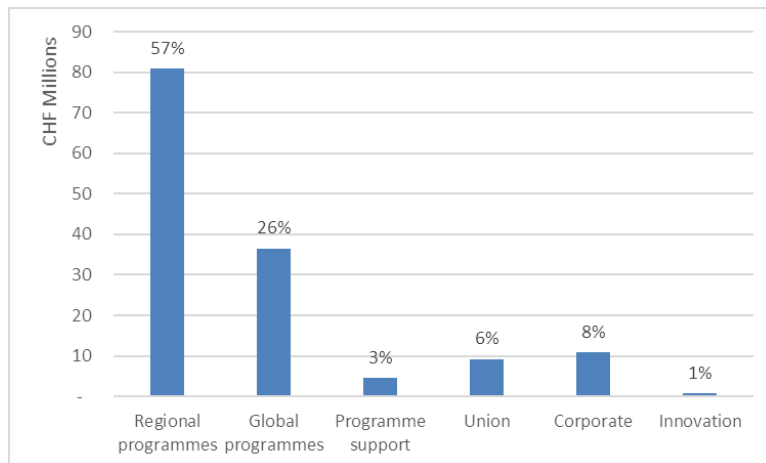
Table 3: Analysis of the 2021 budget by funding source, CHF

	Unrestricted			Restricted		Total
	Membership	Framework	Other unrestricted	Congress	Project restricted	
Income	11,700,000	12,543,560	5,589,255	5,622,795	107,540,097	142,995,706
Expenditure						
Regional programmes						
IUCN activities	-	-	-	-	26,132,085	26,132,085
Implementing partners' activities	-	-	-	-	28,887,148	28,887,148
Staff costs	-	-	-	-	15,026,007	15,026,007
Corporate services	-	754,523	920,084	-	4,719,679	6,394,286
Programme development and coordination	-	703,053	121,361	-	-	824,414
Representation, relationship mgt, collaborat	-	1,473,711	140,818	-	-	1,614,529
Constituency support	2,069,585	-	-	-	-	2,069,585
Sub-total	2,069,585	2,931,287	1,182,263	-	74,764,919	80,948,054
	18%	27%	0%	0%	69%	57%
Global programmes						
IUCN activities	-	-	-	-	9,163,366	9,163,366
Implementing partners' activities	-	-	-	-	9,103,192	9,103,192
Staff costs	-	-	-	-	9,799,024	9,799,024
Operations support	-	592,000	80,807	-	1,058,825	1,731,632
Corporate services	-	-	535,042	-	1,071,034	535,992
In-kind staff	-	548,346	-	-	-	548,346
Programme development and coordination	-	5,120,000	152,973	-	-	5,272,973
TRAFFIC	-	400,000	-	-	-	400,000
Sub-total	-	6,660,346	301,262	-	30,195,441	36,554,524
	0%	53%	-5%	0%	28%	26%
Programme support						
Planning, monitoring and evaluation	-	771,000	-	-	309,762	1,080,762
Strategic partnerships	153,000	818,297	487,571	-	174,195	1,633,063
GEF/GCF coordination	-	152,000	152,000	-	303,000	607,000
Global communications	1,062,000	-	167,816	-	-	1,229,816
Sub-total	1,215,000	1,741,297	807,387	-	786,957	4,550,641
	10%	14%	14%	0%	1%	3%
Union						
Governance	874,000	-	-	-	-	874,000
Congress	394,814	-	213,445	5,622,795	-	5,804,164
HQ Constituency support	647,186	-	2,186	-	8,000	657,372
Commission operating funds	1,300,000	-	6,028	-	-	1,293,972
Commission support unit	352,000	-	12,039	-	-	339,961
RCF	250,000	-	-	-	-	250,000
Sub-total	3,818,000	-	229,326	5,622,795	8,000	9,219,469
	33%	0%	-4%	100%	0%	6%
Corporate						
Office of the DG, legal, oversight	1,872,000	-	142,712	-	83,780	2,098,492
Finance, HR, IT, General services	2,375,415	174,585	3,987,481	-	1,700,999	8,238,480
Risk provisions (forex, deficits)	350,000	200,000	-	-	-	550,000
Sub-total	4,597,415	374,585	4,130,193	-	1,784,779	10,886,972
	39%	3%	74%	0%	2%	8%
Innovation						
Innovation and organisational development	-	836,045	-	-	-	836,045
Sub-total	-	836,045	-	-	-	836,045
	0%	7%	0%	0%	0%	1%
	-	-	-	-	-	0
Total	11,700,000	12,543,560	5,589,255	5,622,795	107,540,097	142,995,706
	100%	100%	100%	100%	100%	100%

Total expenditure

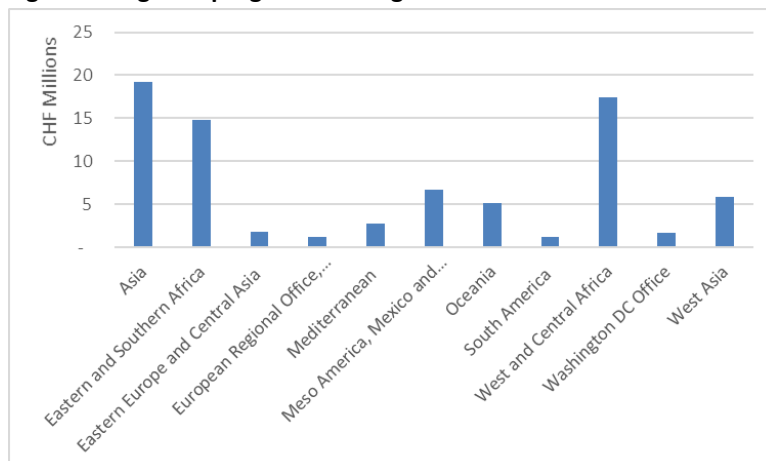
Figure 6 presents graphically the total expenditure figures from table 3 by organisational component.

Figure 6: Budget breakdown by organisational component



57% of the total budget is allocated to regional programmes. This is broken down by region as shown in figure 7.

Figure 7: Regional programme budgets



Regions with the highest level of expenditure are Asia, West and Central Africa and Eastern and Southern Africa, which together account for 66% of total regional expenditure.

Evolution of the funding model

IUCN's intention over the course of 2021 and future years is to increase the level of corporate costs funded by the project portfolio, thereby "freeing up" a portion of the Membership dues so that a higher percentage can be invested in activities that advance the development and impact of the Union.

The objective is to make the project portfolio self-sustaining through improved cost recovery mechanisms so that growth in the portfolio does not need to be subsidised by unrestricted income. Unrestricted income would, however, still be used for programme development and coordination, and for ensuring programme coherence and impact.

6. Investments

Investments of CHF 1.7m are planned in 2021 with the objectives of diversifying and increasing funding; strengthening accountability and programme quality through improved monitoring; and supporting programme innovation and organisational development.

Table 4 shows the main investments anticipated in the 2021 budget. Items with a value are new investments. Portfolio developments and general IT developments are recurring investments.

Table 4: Planned investments

Area	Amount	Description
Strengthening resource mobilisation and relationship management	CHF 500k	The capacity of the Strategic Partnerships Unit will be strengthened with the objective of increasing the level of unrestricted funds to support innovation, programme coherence and Union development. This will be achieved by targeting new framework partners, philanthropy and the corporate sector.
Strengthening accountability and transparency on the use and allocation of resources	CHF 420k	The capacity of the Planning, Monitoring, Evaluation and Risk function (PMER) will be significantly increased. This responds to internal assessments and recommendations made in the 2020 External Review to increase capacity in this area. The additional investment will ensure that the PMER unit has the capacity to set standards, oversee quality assurance, measure performance across the Secretariat and facilitate necessary and periodic evaluations on key programmatic topics. Investment will also be made to reinforce a monitoring, evaluation and learning culture throughout the entire Secretariat.
Development of a platform to capture Members' contributions to the IUCN Programme	CHF 30k	The 2021–2024 Programme is a programme for the Union. To demonstrate delivery against programme targets a platform will be developed that will allow Members to register their contributions to the achievement of the overarching impact targets. An initial investment for scoping will be made in 2021.
Document management	CHF 150k	As part of a broader digitalisation strategy, investment will be made in the development of a document management system. The initial scope will be to support financial processes. The system will be expanded in subsequent years to cover other areas, e.g. HR, project management. Investment in year 1 represents scoping, design and system selection.
Portfolio development	Included in the operational budgets of programmes	Unrestricted allocations are made to both regional and global programmes to support project development and programme coherence.

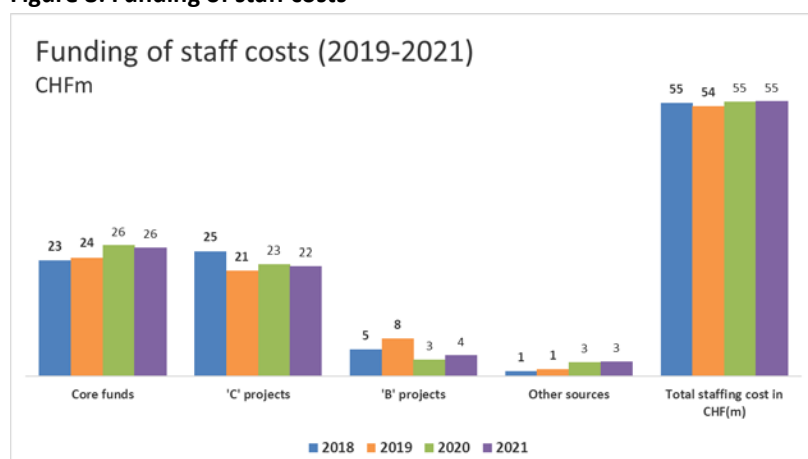
Area	Amount	Description
Information Technology (IT) investments	Included in the operational budget of Global Information Systems Group	Investment will continue to be made in IUCN's IT infrastructure and applications. The Global Area Network will be upgraded over the course of 2021-22, security will be strengthened and existing applications will be leveraged through a continuous improvement process.
IUCN Website	CHF 60k	Development of a new IUCN website is currently in progress. The website will go live in 2021. The total cost is estimated at CHF 300k, which will be depreciated over 5 years (CHF 60k p.a.).
Innovation and organisational development	CHF 836k	The budget includes an unallocated amount of CHF 836k. This will be used to develop new areas of work and for organisational change.

7. Staffing and staff costs

Staff levels are expected to increase from a current level of 816 to 850 over the course of 2021. Staff levels have shown a progressive decrease since 2016 when they stood at 1,022 to the current level. This reflects a move to larger projects and growth in the implementing agency component of the project portfolio, both of which involve a higher percentage of activities being undertaken by partners. The projected growth in staffing levels in 2021 reflects the growth in the overall budget, particularly the project component.

The total budgeted 2021 staffing cost is CHF 54.3m (2020 Budget CHF 53.0m). Staff costs are budgeted to be funded as shown in Figure 8. Comparative figures are shown for previous years' budgets.

Figure 8: Funding of staff costs



2021 staff costs and the source of funding is generally in line with the 2020 budget. Core funds (unrestricted income plus HQ indirect cost recovery) funds 47% of staff costs, whereas projects and other sources fund 53% of staff costs.

CHF 4m is budgeted to be funded from B-projects, i.e. projects currently under negotiation/development. This represents a risk to IUCN as the funding of staff is dependent on realisation of the projects. The value is, however, relatively low and the risk manageable. In many cases, staff have fixed term contracts linked to the

duration of ongoing projects. Contracts are not extended or new staff taken on until new project agreements are signed.

8. Project portfolio

Table 5 shows the total value of the portfolio, number of projects and budgeted expenditure for 2021.

Table 5: Project portfolio headline numbers

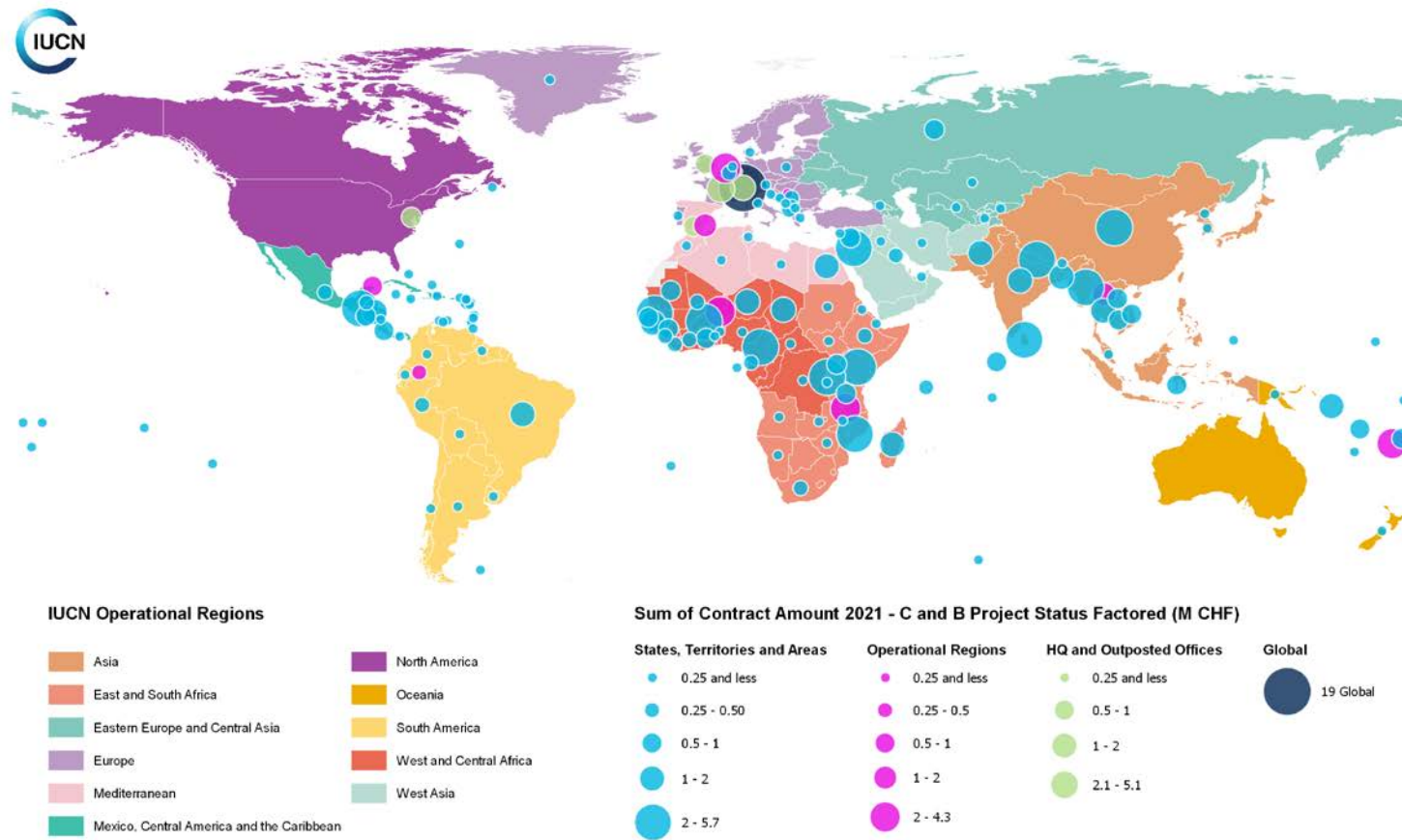
	Projects under implementation	Projects in development	Total
Value of projects	CHF 522,601,047	CHF 200,841,628	CHF 723,442,675
Number of projects	296	125	421
Budgeted expenditure in 2021,	CHF 84,516,109	CHF 28,564,174	CHF 113,080,283

The total value of IUCN's project portfolio at 30 September 2020 was CHF 724m, comprising projects under implementation of CHF 523m and projects under development of CHF 201m. These figures include all projects that will continue into 2021. Projects that are currently under implementation that will finish before the end of 2020 are not included in the above figures. The portfolio includes GEF and GCF projects with a combined value of CHF 173m (approx. 25% of the total portfolio).

Total budgeted expenditure for 2021 is CHF 113m, comprising expenditure on projects currently under implementation of CHF 84m (75%) and expenditure on projects in development of CHF 29 million (25%). The latter are projects where the contracts are expected to be signed before the end of 2020 or during the course of 2021. Expenditure on GEF and GCF projects is budgeted at CHF 24m in 2021.

Fig 9 below shows the geographical distribution of budgeted expenditure in 2021.

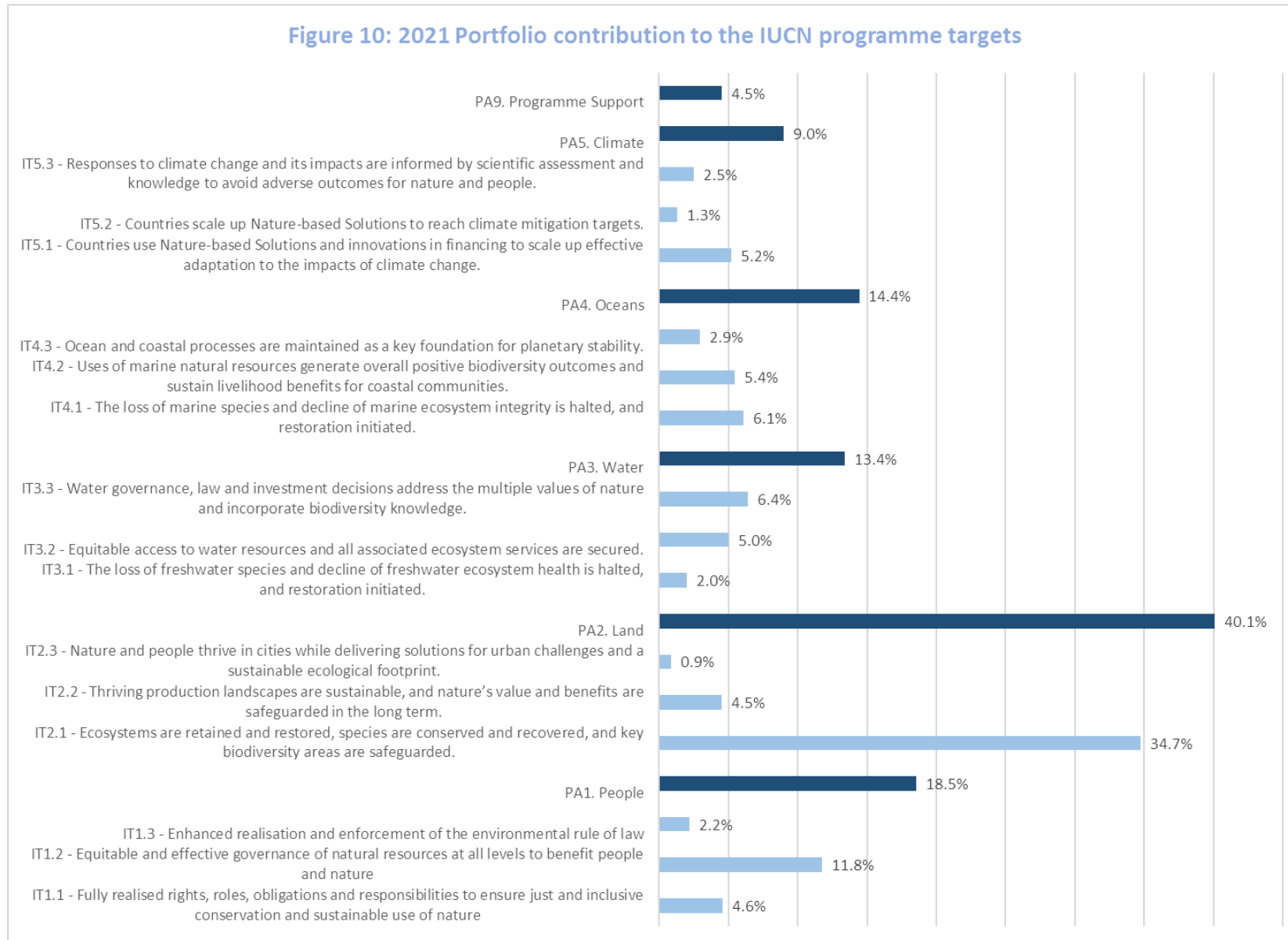
Figure 9: 2021 Project budget by Statutory State, Operational Region and Globally tagged projects¹



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.

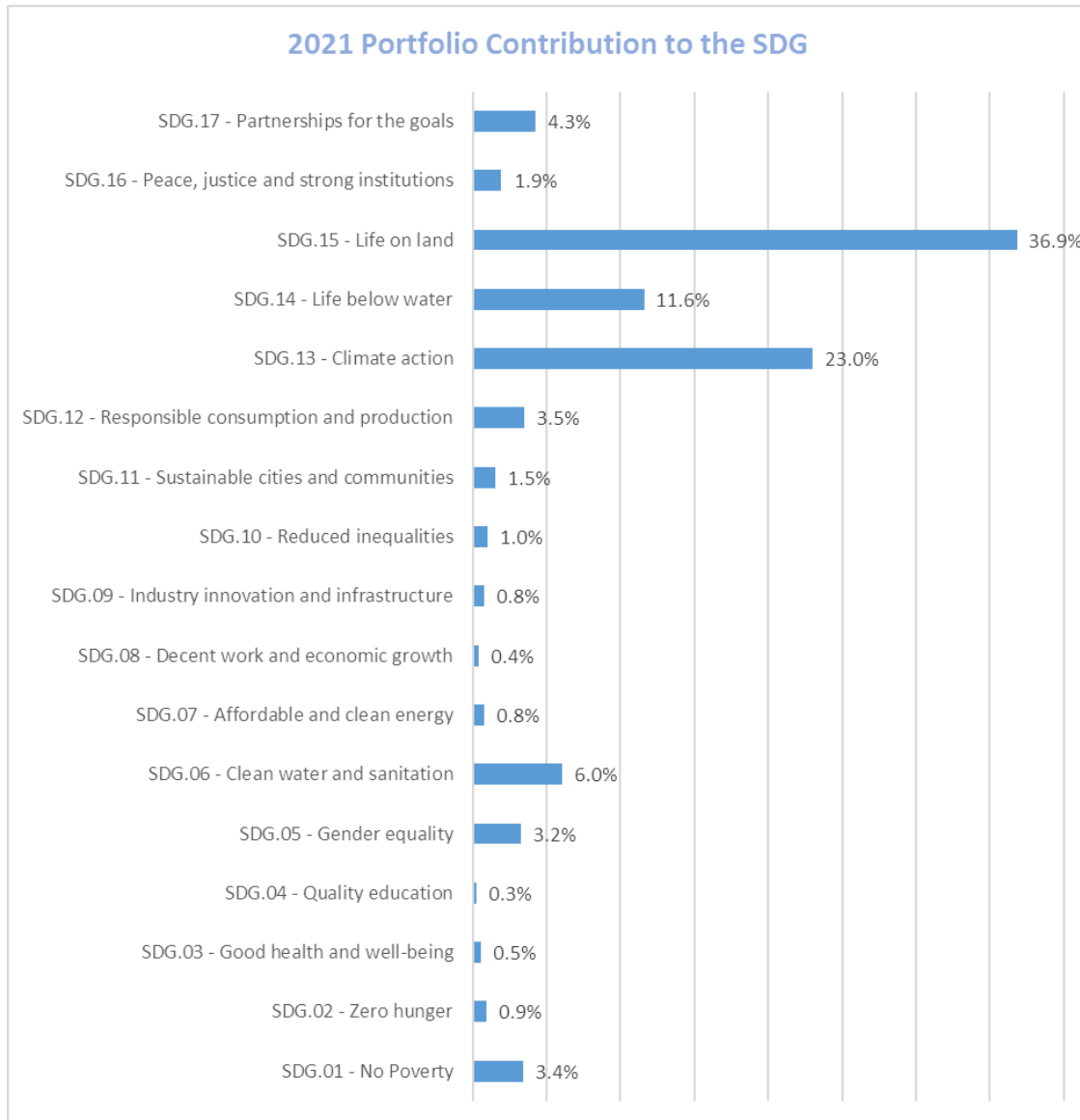
¹ This figure shows the projected 2021 budget (M CHF) in Statutory States, Operational Regions, Globally- funded projects and Headquarters represented by the size of the circles. The legend indicates the projected budget size according to these categories. It includes B (factored by the probability of funding) and C list projects.

Figure 10 shows the contribution of 2021 budgeted expenditure to the IUCN programme areas and impact targets.



All IUCN projects contribute to the achievement of the Sustainable Development Goals (SDGs). IUCN has mapped project budgets to the SDGs as a proxy indicator of contribution to each SDG.

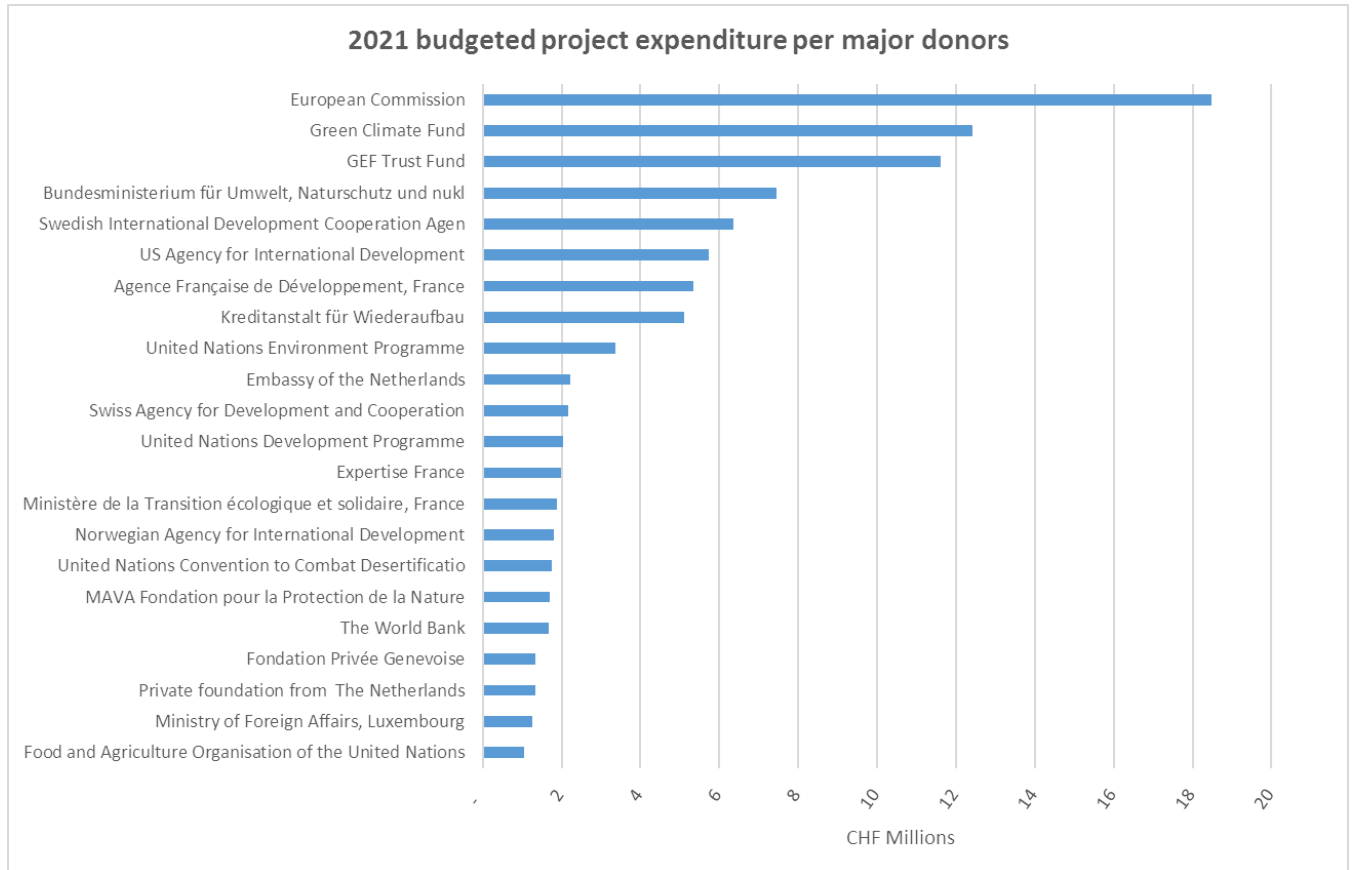
Figure 11: 2021 budgeted expenditure by SDG



9. Funding of the budget

Figure 12 shows 2021 budgeted project expenditure by major donor. The top 3 donors are multilateral agencies, the largest being the European Commission. The majority of the other top donors are government agencies, though 3 foundations are also included. In terms of geographical spread, there is a concentration of European donors. A similar picture is seen with framework donors (not included in the below chart) where 6 out of 8 partners are European government agencies. Diversification of the donor base will be pursued by investing in resource mobilisation that targets new framework partners, philanthropy and the corporate sector (see Section 6: Investments).

Figure 12: Major donors

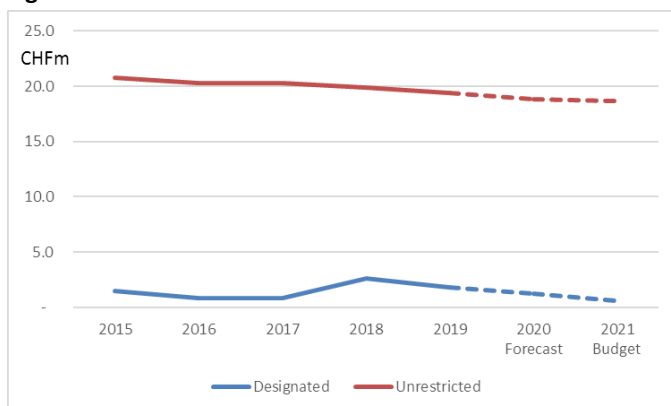


10. Reserves

Figure 13 shows the movement in IUCN’s reserves from 2015 and the projection to the end of 2021. Unrestricted reserves totalled CHF 17.6m at the end of 2019. They are forecast to remain at this level at the end of 2020 and end of 2021, reflecting the breakeven nature of the budget. The current target for unrestricted reserves is CHF 25m. This will be reviewed during the course of 2021 and adjusted, if necessary, so that it is aligned with the financial risks faced by IUCN.

Designated reserves are forecast to decrease from a level of CHF 1.8m at the end of 2019 to a level of CHF 0.6m at the end of 2021 as they are used for their intended purposes.

Figure 13: UCN Reserves



11. Risks Inherent in the Budget 2021

The main risks for 2021 are:

1. Delays in project implementation

Project expenditure is budgeted at CHF 113m, a 35% increase on the 2020 forecast of CHF 90m. The increase reflects: 1) the expectation that expenditure levels will increase as the Covid-19 pandemic subsides; and 2) an expanding project portfolio. However, there is no certainty that The Covid-19 pandemic will subside in early 2021 and therefore, despite a growing project portfolio, IUCN may continue to face implementation challenges.

Delays in project implementation would result in lower levels of cost recovery and an increase in the risk of staff costs not being fully funded. It would also result in a reduction in the funding of corporate costs by the project portfolio, meaning a higher portion would have to be funded from unrestricted income. A total of CHF 29m of project expenditure is budgeted to come from contracts not signed as at 30 September 2020. This is significantly higher than the comparative level for the 2020 budget (CHF 19m), and represents an increase in risk.

Risk response: The rates of project implementation and cost recovery will be monitored on a monthly basis in order to identify areas of concern and action needed. Staff contracts will be aligned with the duration of signed project contracts to the extent possible. Conversion rates of projects under development will be monitored and a risk assessment performed at the end of each quarter. If the level of conversions is low, budget modifications will be considered.

Risk Level: Tier 2 – High.

Risk Owner: Global and Regional Directors

2. The IUCN Congress does not go ahead

IUCN has made significant investment in the 2020 Congress. Postponement of Congress has resulted in additional unbudgeted costs. The 2021 budget assumes that the Congress will go ahead sometime in 2021 and that the full investment will be recovered from Congress income, namely registration fees, exhibition income and sponsorships. In the event that the Congress is cancelled, losses of up to CHF 5.0m could be incurred as the investment would need to be written off.

Risk response: Congress costs are being actively managed. The Congress will be actively marketed and virtual run-up events held to maintain interest. Relationships with exhibitors and sponsors will be actively managed to limit the risk of contract cancellations.

Risk Level: Tier 1 – Very high.

Risk Owner: IUCN Council/Director General

3. Framework agreements not signed

At the time of preparation of the 2021 budget, no agreements with framework partners for the period 2021-2024 had been signed. Although, indications from framework partners are positive, there is a significant risk that the level of framework income budgeted may not be achieved. The fact that the

2021-2024 Programme will only be approved in January 2021 adds to the risk as framework partners link their funding to the approved IUCN Programme.

Risk response: A meeting of the framework partners is planned for December 2020. Discussions with partners will continue into 2021 with the objective of securing agreements as early as possible in 2021.

Risk Level: Tier 2 – High.

Risk owner: Director of Strategic Partnerships

4. Non-payment of membership dues

Members may decide to withdraw from IUCN or delay payment of membership dues. This could happen for a variety of reason, e.g. Members experiencing financial difficulties in light of the Covid-19 pandemic, or Members reassessing the value of membership. The impact could be particularly high if State Members in the higher dues categories were to withdraw.

Risk response: A provision of CHF 0.5m has been made in the 2020 budget for non-payment of membership dues. A Membership strategy has been developed and this will be rolled out during 2021. The strategy will strengthen IUCN's value proposition.

Risk Level: Tier 2 – High.

Risk Owner: Global Director - Union Development Group

5. Exposure to foreign exchange fluctuations

Several of IUCN's Framework contributions (Sweden, Norway, Finland, France, US) are received in currencies that are not closely aligned with the Swiss franc. It is possible that the actual Swiss franc value of contributions will be lower than projected in the 2020 budget. In addition, IUCN receives and spends funds in a variety of currencies for projects and this creates a foreign exchange risk.

Risk response: In respect of the core budget, which is set in Swiss francs, the risk of foreign exchange losses is mitigated by a hedging strategy using forward currency contracts. IUCN policy is to hedge a minimum of 50% of the foreign exchange exposure related to Framework agreements. In respect of the project budget, a natural hedging strategy is adopted whereby project assets and liabilities are balanced to the extent possible. A general provision of CHF 0.3m is also included in the budget for exchange gains and losses.

Risk Level: Tier 4 – Low.

Risk Owner: Chief Finance Officer

IUCN Green Status of Species

A global standard for measuring species recovery and assessing conservation impact

Version 2.0 Approved by the IUCN Council, 102nd Meeting, 1 December 2020

I. INTRODUCTION

The decline of many species towards extinction has largely focused conservation efforts on ensuring that species remain extant. However, conservationists have long recognized the need to complement this by aiming to recover depleted populations throughout a species' range and to restore species to ecosystems from which they have been extirpated.

Recognizing this need, the International Union for Conservation of Nature (IUCN) called for the development of objective criteria for Green Lists of Species, Ecosystems and Protected Areas (IUCN and WCPA 2017). Resolution WCC-2012-RES-41 of the 2012 World Conservation Congress requested that "the Species Survival Commission (SSC)... conduct international scientific consultations to develop objective, transparent and repeatable criteria for Green Lists that systematically assess successful conservation of species."

In response, the Species Survival Commission convened a Task Force on Assessing Conservation Success under the auspices of the IUCN Red List Committee to oversee the development of this Standard. The Task Force developed a framework for measuring species recovery and conservation impact (Akçakaya et al. 2018), which proposed a definition of a fully recovered species based on viability, functionality, and representation, and defined four metrics to quantify the importance of conservation for a species. This framework was tested across a range of taxa between 2018 and 2021 to ensure wide applicability, and resulting changes are captured in this Standard.

To ensure full understanding of IUCN Green Status of Species assessments, it is very important to refer to the latest versions of all the following documents:

1. *Background and Guidelines for the IUCN Green Status of Species*, which accompanies this Standard, and which will be periodically updated (referred to in the remainder of this document as Background and Guidelines);
2. *IUCN Red List Categories and Criteria* (IUCN 2012a);
3. *Guidelines for Using the IUCN Red List Categories and Criteria* (IUCN 2019);
4. *Guidelines for Application of IUCN Red List Criteria at Regional and National Levels* (IUCN 2012b).

II. PREAMBLE

1. Purpose

The IUCN Green Status of Species has five main objectives:

- (i) To provide a standardised framework for measuring species recovery;
- (ii) To recognize conservation achievements;
- (iii) To highlight species whose current conservation status is dependent on continued conservation actions;

- 44 (iv) To forecast the expected conservation impact of planned conservation action; and
45 (v) To elevate levels of ambition for long-term species recovery.

46
47 These objectives together encourage conservation towards species recovery,
48 throughout a species' range. They are represented by a Species Recovery Score, and by
49 four conservation impact metrics (Conservation Legacy, Conservation Dependence,
50 Conservation Gain, Recovery Potential), which are quantified as differences between the
51 Green Score of the species in different time steps or under different scenarios.

52 **2. Scope**

53
54 The definitions and metrics of the Green Status of Species can be applied to any species
55 except microorganisms. Species can be assessed under this protocol regardless of their
56 Red List category, and regardless of whether they have been subject to conservation
57 measures. For practical reasons (see section V.3), Green Status of a species should be
58 assessed after, or concurrently with, the Red List assessment of that species.

59 **3. Species recovery**

60
61 In this standard, a Fully Recovered species is defined based on viability, functionality,
62 and representation (see definition in section III). Viability is the first requirement that is
63 essential but not sufficient for recognizing a species as recovered. To be considered
64 Fully Recovered, a species must also exhibit its ecological interactions, functions, and
65 other roles in the ecosystem, and occur in a representative set of ecosystems and
66 communities throughout its range. The viability and functionality aspects are addressed
67 in the assessment of the state of the species' population in each spatial unit (see sections
68 IV.1, V.3.c and V.3.d), and the representation aspect is addressed by making the
69 assessment in all spatial units across the species' range (see sections IV.1 and V.2). The
70 definition based on these characteristics is used to measure a species' recovery,
71 expressed as the Green Score, which in turn is used to define four conservation impact
72 metrics to quantify the importance of conservation for the species (see section III,
73 Definitions).

74 **4. Relation to the IUCN Red List**

75
76 Green Status assessments are not an alternative to extinction risk assessments through
77 the IUCN Red List, but provide complementary information. The results of a Green
78 Status assessment (Species Recovery Score and Category, and the conservation impact
79 metrics and categories) should be considered together with the IUCN Red List category
80 of species. There is not a simple and general relationship between the Red List status
81 and Green Status of species. Species that have been recovering may still be threatened;
82 species that have not recovered may not be threatened; and species with high values of
83 the conservation impact metrics may or may not be at risk of extinction. The Red List
84 and Green Status provide separate but related and complementary assessments of the
85 conservation status of a species.

86
87 Some issues that are relevant for Green Status assessments, e.g., terms used to define
88 viability, are covered in the Red List Guidelines; thus, assessors should also consult the
89 most recent version of the Guidelines for Using the IUCN Red List Categories and

90 Criteria (IUCN Standards and Petitions Subcommittee 2019), as they are updated on a
91 regular basis.

92 **5. Relation to conservation planning and priorities**

94 Green Status Assessments are not meant to replace the process for establishing
95 recovery objectives, targets and goals, which is a part of the conservation action
96 planning process that brings together all stakeholders in the planning process, and that
97 is the ideal and appropriate venue to set conservation targets and priorities. Instead,
98 Green Status Assessments aim to be a useful and integral part of this planning process,
99 and to reflect the targets and aspirations which are set within this process. Species
100 conservation or recovery plans are often developed with conservation measures and
101 actions covering a relatively short time horizon (e.g., five or ten years); this is reflected
102 in the Conservation Gain metric. These plans are usually nested within a longer-term
103 vision, which may often be 50-100 years. The Recovery Potential metric is aligned with
104 this long-term vision. The time frame for Recovery Potential is set at 100 years, to link
105 explicitly to the vision statements in many conservation strategies and action plans. The
106 Recovery Potential should ideally be based on the long-term vision statement of a
107 recognized action planning process, involving considered and appropriate stakeholder
108 engagement. Conservation planning processes also often build upon past conservation
109 actions and evaluations of conservation impacts in different parts of the species' range,
110 as well as the species' short-term conservation needs. These are captured in the
111 Conservation Legacy and Conservation Dependence metrics.

112 **III. DEFINITIONS**

114 **1. Absent (state of a spatial unit)**

115 A species is said to be Absent in a given spatial unit if it does not occur there in the wild,
116 despite the spatial unit being a part of the species' range. This is one of four possible
117 states for a spatial unit population (with Present, Viable, and Functional).

119 **2. Conservation action**

120 Any human activity for which biodiversity conservation is a stated intention, even if the
121 activity is not for the sole, or primary, purpose of biodiversity conservation, and even if
122 its budget is from sources other than conservation programmes.

124 **3. Conservation Dependence**

125 A conservation impact metric that measures the impact of ongoing conservation actions,
126 defined as the predicted change in the Green Score of the species in the short-term
127 future (10 years) if all conservation actions were to cease, beginning today. The metric
128 is calculated as the difference between the Current (or Current baseline) Green Score
129 and the Future-without-conservation Green Score (see section IV.1, IV.2, V.5.c, and
130 Figure 1).

132 **4. Conservation Gain**

133 A conservation impact metric that measures the impact of ongoing and planned
134 conservation actions, defined as the predicted change in the Green Score of the species
135 in the short-term future (10 years) if ongoing and planned future actions are
136 implemented effectively. The metric is calculated as the difference between the Current

137 (or Current Baseline) Green Score and the Future-with-conservation Green Score (see
138 section IV.1, IV.2, V.5.c, and Figure 1).

139 **5. Conservation Legacy**

141 A conservation impact metric that measures the impact of conservation actions that
142 have been conducted to date, defined as the difference between the species' Current
143 Green Score and its Counterfactual Current Green Score (see section IV.1 and Figure 1).

144 **6. Conservation impact category**

145 Each conservation impact metric can be expressed as either a percentage or using
146 categories. For each of the four conservation impact metrics, the categories are:
147 Negative, Zero, Low, Medium, High, or Indeterminate (see section IV.3).

148 **7. Conservation impact metric**

149 One of four measures of the importance of conservation actions for the species:
150 Conservation Legacy; Conservation Dependence; Conservation Gain; and Recovery
151 Potential. Each metric is calculated as the difference between two Green Scores.

152 **8. Counterfactual**

153 A hypothetical scenario of what the status of the species would have been today in the
154 absence of past conservation actions; it is used to determine the Counterfactual Current
155 state in each spatial unit, and the Counterfactual Current Green Score (see section IV.1)

156 **9. Ecological function of a species**

157 The totality of the species' interactions, determining its influence on, or contribution to,
158 ecosystem processes, and the patterns of intra-specific interactions, behaviour and
159 social dynamics that are characteristic of that species (see section V.3.d).

160 **10. Ecological functionality of a population**

161 The extent to which the population in a spatial unit fulfils the ecological function or
162 functions of the species in a particular time and place (e.g., a spatial unit), as determined
163 by its size, density and demographic structure (see section V.3.d).

164 **11. Expected additional range**

165 The areas that are strongly expected to become suitable and inhabited by the species in
166 the next 100 years, taking into account range shifts resulting from climate change and
167 other global and local processes, as well as conservation translocations (IUCN Standards
168 and Petitions Committee 2019).

169 **12. Fully Recovered**

170 A species that is viable and ecologically functional in every part of its range. The Green
171 Score is defined relative to this condition. This definition and the conservation impact
172 metrics that are based on it apply not only to species that have previously declined, but
173 also to taxa that have not declined (irrespective of whether or not they have been the
174 focus of conservation so far). However, taxa that fit this definition but have not
175 benefitted from conservation are categorized as Non-Depleted. A Fully Recovered (or
176 Non-Depleted) species has a Green Score of 100%.

185 **13. Functional (state of a spatial unit)**

186 A spatial unit population is said to be Functional if it fulfils the ecological function(s) of
187 the species; i.e., it has the attributes (including, for example, abundance, density and
188 demographic structure) that enable it to interact with other species, contribute to
189 ecosystem processes, and/or display patterns of intra-specific interactions, behaviours
190 and social dynamics that are characteristic of the species. This is one of four possible
191 states for a spatial unit population (with Absent, Present, and Viable). See section V.3.d
192 and Background and Guidelines section 4.5.

193
194 **14. Green Score**

195 A numerical value between 0% and 100%, representing how close the species is to
196 being Fully Recovered. A value of 0% means the species is Extinct or Extinct in the Wild,
197 and 100% means it is Fully Recovered. The Green Score is calculated based on the state
198 (Absent, Present, Viable or Functional) in each spatial unit, and can be calculated for
199 past, current, short-term future, and long-term future time periods, and for alternative
200 scenarios (i.e., with conservation at various levels (past, current, planned, aspirational),
201 or without conservation). These different Green Scores are used to calculate the
202 conservation impact metrics for each species, and species are placed in categories based
203 on these four metrics.

204
205 **15. Indigenous range**

206 The distribution of the species, generated from current and historical (written or
207 verbal) records, or physical evidence of its occurrence, accounting for all known,
208 inferred or projected sites of occurrence (IUCN 2012a), including past conservation
209 translocations (IUCN Standards and Petitions Committee 2019) but not including
210 vagrancies. Where direct evidence is inadequate to confirm previous occupancy, the
211 existence of suitable habitat within ecologically appropriate proximity to observed
212 range may be taken as adequate evidence of previous occupation (IUCN SSC 2013).

213
214 **16. Parts of the range**

215 See "spatial unit."

216
217 **17. Present (state of a spatial unit)**

218 A spatial unit population is said to be Present if the species occurs but is not Viable or
219 Functional in the spatial unit. This is one of four possible states for a spatial unit
220 population (along with Absent, Viable and Functional).

221
222 **18. Range**

223 The spatial distribution of the species, comprising its indigenous range and expected
224 additional range. For Conservation Legacy, the range is defined only as the indigenous
225 range. For the other three conservation impact metrics, which involve the future of the
226 species, the range can be defined as the combination of its indigenous range and
227 expected additional range, depending on when the expected additional range is
228 expected to become occupied. See section V.1.b.

229
230 **19. Recovery Potential**

231 A conservation impact metric that quantifies conservation aspiration or ambition,
232 defined as the maximum plausible improvement in the status of the species with

233 sustained conservation efforts and conservation innovation over the long-term (100
234 years). See section IV.1 and Figure 1.

235

236 **20. Rescue effect**

237 The process by which the extinction risk in a spatial unit is decreased because of
238 propagules immigrating from other spatial units. A propagule is a living entity capable
239 of dispersal and of producing a new mature individual (e.g., a spore, seed, fruit, egg,
240 larva, or part of or an entire individual). Gametes and pollen are not considered
241 propagules in this context (IUCN 2012b).

242

243 **21. Spatial unit**

244 A subdivision of the species' range in which the state of the species is assessed as
245 Absent, Present, Viable, or Functional. See *Delineating spatial units* in section V below.

246

247 **22. Spatial unit population**

248 The set of individuals of a species in a spatial unit (*cf.* "population" in IUCN 2012, 2019).
249 Also referred to as "population in a spatial unit."

250

251 **23. Species Recovery Category**

252 A measure of how close the species is to Fully Recovered, based on the Species Recovery
253 Score and the thresholds stated in section IV.3.

254

255 **24. Species Recovery Score**

256 A measure of how close the species is to Fully Recovered, based on the observed,
257 estimated, inferred, or suspected condition of the species at the time of assessment
258 (shown in Figure 1 as the Current Green Score). It can be plotted as a function of time,
259 based on condition at each time step, depicting the species' progress (or otherwise)
260 towards full recovery.

261

262 **25. State**

263 The condition of the species in a spatial unit, assessed as one of four ordinal categories:
264 Absent, Present, Viable, and Functional. These categories are assigned weights (see
265 section V.3), which are combined, using Equation 1 below, to give the Green Score. State
266 can be determined for past, current, short-term future, and long-term future time
267 periods, and for alternative scenarios (with and without conservation). States are in a
268 nested hierarchy, so that a spatial unit population that is assessed as Viable is also
269 Present by definition, and a spatial unit population that is assessed as Functional is by
270 definition also Viable and Present. Therefore a score of Functional can only be applied
271 to spatial units that are both Viable and Functional (but see section V.3.d).

272

273 **26. Subpopulation**

274 Subpopulations are defined as geographically or otherwise distinct groups in the
275 population between which there is little demographic or genetic exchange (typically one
276 successful migrant individual or gamete per year or less) (IUCN 2012a; see IUCN
277 Standards and Petitions Committee 2019 for guidance).

278

279 **27. Viable (state of a spatial unit)**

280 A spatial unit population is said to be Viable if the species has a low risk of extirpation in
281 the spatial unit, as determined by the regional IUCN Red List category. See Section V.3
282 for details.

283

284 **IV. CRITERIA**

285 **1. Green Score**

286 The state in each spatial unit is assessed as one of four ordinal categories: Absent,
287 Present, Viable, and Functional (see section V.3. for details). A Green Score (G) for the
288 species is obtained, based on the states in all spatial units, with the equation (Equation
289 1):

$$G = \frac{\sum_s W_s}{W_F \times N} \times 100$$

290 where s is each spatial unit, W_s the weight of the state (Absent, Present, Viable, or
291 Functional) in the spatial unit, W_F is the weight of the Functional state, and N is the
292 number of spatial units. The denominator is the maximum possible score attained when
293 all spatial units are assessed as Functional. Thus, a Green Score is calculated as a
294 percentage of Fully Recovered. For Current and Counterfactual Current scores, the
295 denominator is based on the number of spatial units in the indigenous range only (not
296 including the expected additional range).

297 Different Green Scores are calculated based on current, short-term future, and long-
298 term future time periods, and alternative scenarios, as listed in Table 1. Conservation
299 impact metrics (e.g., Conservation Legacy, etc.) are calculated as differences between
300 two Green Scores, as detailed in section V.

301

302

303

304 **Table 1.** Names and descriptions of the scenarios under which Green Score can be
 305 calculated. Note that all Green Status assessments require at least the ‘Current’ scenario;
 306 assessing conservation impact requires at least one other scenario.

Green Score	Scenario and time period
Current	The Green Score at the time of the assessment (the same as the Species Recovery Score at that time).
Counterfactual Current	What the value of the Green Score would have been today in the absence of past conservation actions. See section V.4.
Current Baseline	Predicted value of the Green Score in the short-term future (10 years), considering the likely benefits of conservation actions that are currently in place or very likely to be in place within 1 year. If the Current Baseline scenario is not specified, it is assumed to be the same as Current. See section V.5.c.
Future-with-conservation	Predicted value of the Green Score in the short-term future (10 years), considering the likely benefits of conservation actions that are currently in place or are planned for implementation during this time window. See section V.5.a.
Future-without-conservation	Predicted value of the Green Score in the short-term future (10 years), assuming any ongoing conservation actions stop today, and no new actions are implemented. See section V.5.b.
Long-term Potential	Predicted value of the Green Score in the long-term future (100 years), given sustained and effective conservation action and innovation. See section V.5.d.

307

308 **2. Conservation impact metrics**

309 For any given species, four conservation impact metrics are calculated as a difference
 310 between two Green Scores (see Figure 1):

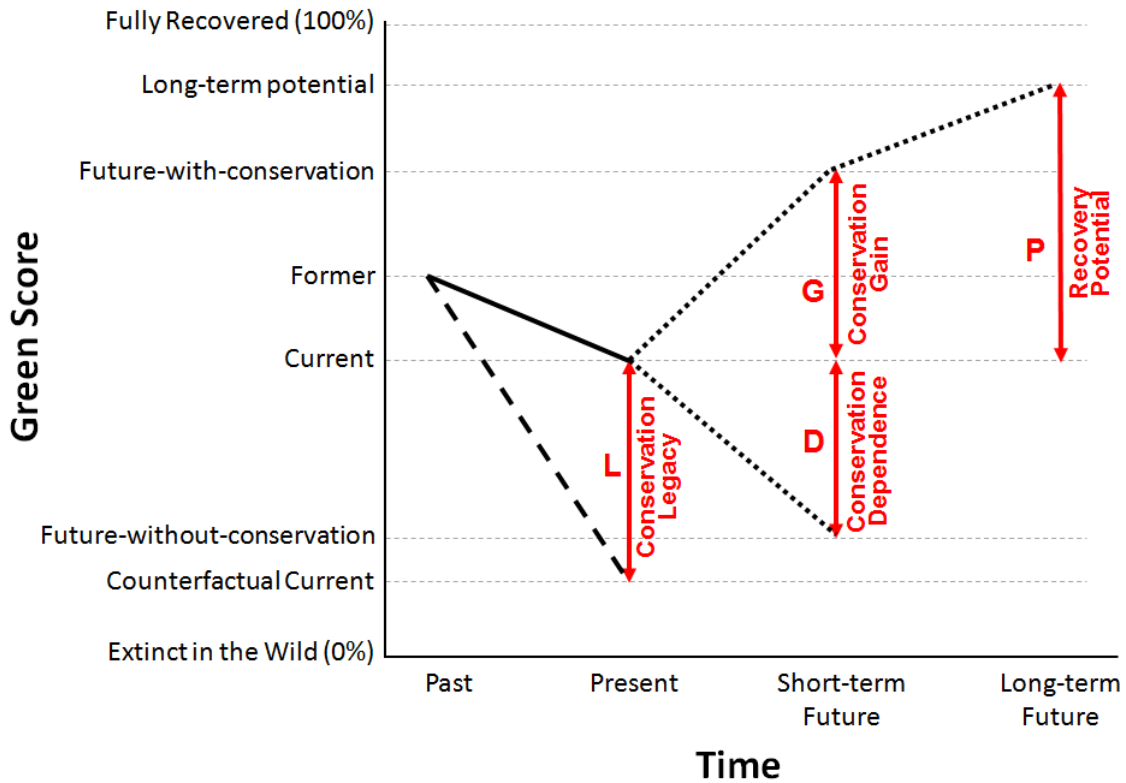
311 Conservation Legacy = Current – Counterfactual Current
 312 (*measuring the impact of conservation actions conducted to date*)

313

314 Conservation Dependence = Current Baseline – Future-without-conservation
 315 Conservation Gain = Future-with-conservation – Current Baseline
 316 (*both measuring the short-term future effect of ongoing and planned conservation*
 317 *actions*)

318

319 Recovery Potential = Long-term Potential – Current
 320 (*measuring the long-term future effect of plausible conservation effort and innovation*)



321

322 **Figure 1.** Graphical representation of the conservation impact metrics as differences in the degree of
 323 recovery of the species (percent of Fully Recovered, measured as the Green Score; equation 1).
 324 Solid-black line: observed change in the Green score of the species. Dashed-black line:
 325 (counterfactual) past change expected in the absence of past conservation efforts. Dotted-black lines:
 326 future scenarios of change expected with and without current and future conservation efforts. Vertical
 327 arrows represent the conservation impact metrics: Conservation Legacy: Benefits of current and past
 328 conservation (current – counterfactual current); Conservation Dependence: Expected change in the
 329 short-term future in the absence of ongoing conservation (current baseline – future without
 330 conservation); Conservation Gain: Expected improvement in the short-term future with ongoing and
 331 planned conservation (future with conservation – current baseline); Recovery Potential: Possible
 332 improvement with long-term conservation (long-term potential – current). In this example, the Current
 333 Baseline (see section V.5.c) is assumed to have the same value as the Current score; see
 334 Background and Guidelines for the same graph with an alternative assumption.

335 **3. Categories and thresholds**

336 For most purposes, the numerical (percentage) values of Species Recovery Score and
 337 the four conservation impact metrics, including their uncertainties (see section V.8
 338 below), should be reported. However, categorical results may be more appropriate for
 339 some uses and audiences (see section V.8). Therefore, each metric is divided into
 340 categories, in order to (i) provide context and allow interpretation of the percentage
 341 value of the metric, and (ii) highlight cases of outstanding conservation impact,
 342 dependence, or potential.

343

344 The Species Recovery Score (SRS) can be reported either numerically (from 0% for
 345 extinct to 100% for Fully Recovered), or categorically. Species Recovery Categories, are
 346 based on the best-estimate, minimum, and maximum values of the SRS (SRS_{best} , SRS_{min} ,
 347 SRS_{max} , respectively) and the best-estimate value of Conservation Legacy (L_{best}), and are
 348 assigned according to the following rules, which are applied in the order listed until the
 349 condition given for a category is met.

Indeterminate	If $(SRS_{max} - SRS_{min}) > 40\%$
Non-Depleted	If $(SRS_{best} = 100\%)$ and $(L_{best} = 0\%)$
Fully Recovered	If $SRS_{best} = 100\%$
Slightly Depleted	If $SRS_{best} > 80\%$
Moderately Depleted	If $SRS_{best} > 50\%$
Largely Depleted	If $SRS_{best} > 20\%$
Critically Depleted	If $SRS_{best} > 0\%$
Extinct in the Wild	If $SRS_{best} = 0\%$

350
 351 The category for each of the four conservation impact metrics is determined based on
 352 the conditions listed below. For each metric, the rules are applied in the order listed
 353 until the condition given for a category is met. In these conditions, best-estimate,
 354 minimum, and maximum values of the conservation impact metrics, and the best-
 355 estimate values of the Green Scores (such as Current and Counterfactual Current) are
 356 used. For each metric, the High category can be achieved in one of three ways: the
 357 numerical value is more than 40%; the numerical value is small but represents
 358 avoidance of extinction; or the numerical value is small but is substantial compared
 359 with the best or medium estimate of the Current score. For information on the
 360 thresholds, see the Background and Guidelines.

361
 362 Conservation Legacy categories, based on the best-estimate, minimum, and maximum
 363 values of the Conservation Legacy metric (L_{best} , L_{min} , L_{max} , respectively):

Indeterminate	If $L_{min} < 0\%$ and $L_{max} > 40\%$
High	If $L_{best} > 40\%$, or $L_{best} > 0\%$ and Counterfactual Current=0 (<i>i.e., extinction prevented</i>), or $L_{best} > \frac{1}{2} \cdot \text{Current}$ (<i>i.e., substantial legacy relative to current score</i>)
Medium	If $L_{best} > 10\%$
Low	If $L_{best} > 0\%$
Zero	If $L_{best} = 0\%$
Negative	If $L_{best} < 0\%$

364 Note: The character \cdot is the mathematical operator for multiplication (same as \times)

365
 366 Conservation Dependence categories, based on the best-estimate, minimum, and
 367 maximum values of the Conservation Dependence metric (D_{best} , D_{min} , D_{max} , respectively):

Indeterminate	If $D_{min} < 0\%$ and $D_{max} > 40\%$
High	If $D_{best} > 40\%$, or $D_{best} > 0\%$ and Future-without-conservation=0 (<i>i.e., would go extinct without conservation</i>), or $D_{best} > \frac{1}{2} \cdot \text{Current}$ (<i>i.e., substantial dependence relative to current score</i>)
Medium	If $D_{best} > 10\%$

Low	If $D_{\text{best}} > 0\%$
Zero	If $D_{\text{best}} = 0\%$
Negative	If $D_{\text{best}} < 0\%$

368

369

370

Conservation Gain categories, based on the best-estimate, minimum, and maximum values of the Conservation Gain metric (G_{best} , G_{min} , G_{max} , respectively):

Indeterminate	If $G_{\text{min}} < 0\%$ and $G_{\text{max}} > 40\%$
High	If $G_{\text{best}} > 40\%$, or $G_{\text{best}} > 0\%$ and Current=0 (<i>i.e., would remain EW without conservation</i>), or $G_{\text{best}} > 1 \cdot \text{Current}$ (<i>i.e., substantial recovery relative to current score</i>)
Medium	If $G_{\text{best}} > 10\%$
Low	If $G_{\text{best}} > 0\%$
Zero	If $G_{\text{best}} = 0\%$
Negative	If $G_{\text{best}} < 0\%$

371

372

373

Recovery Potential categories, based on the best-estimate, minimum, and maximum values of the Recovery Potential metric (P_{best} , P_{min} , P_{max} , respectively):

Indeterminate	If $P_{\text{min}} < 0\%$ and $P_{\text{max}} > 40\%$
High	If $P_{\text{best}} > 40\%$, or $P_{\text{best}} > 0\%$ and Current=0 (<i>i.e., would remain EW without conservation</i>), or $P_{\text{best}} > 2 \cdot \text{Current}$ (<i>i.e., substantial recovery relative to current score</i>)
Medium	If $P_{\text{best}} > 10\%$
Low	If $P_{\text{best}} > 0\%$
Zero	If $P_{\text{best}} = 0\%$
Negative	If $P_{\text{best}} < 0\%$

374

375

V. PROCEDURES

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381

The following procedures are the main components of a Green Status assessment. These procedures are discussed in detail in the *Background and Guidelines for the IUCN Green Status of Species*, which will evolve over time to incorporate guidance on using new types of data that may become available, and new advances in analysis methods.

382

1. Determining range

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a. Determining Indigenous Range

The indigenous range (see definition) is based on all known, inferred and (spatially) projected sites of occurrence, both current and historical. It includes conservation translocations that conform with IUCN Standards and Petitions Subcommittee (2019), but not vagrancies. For recovery objectives to be ambitious and aspirational, and to avoid shifting baselines, indigenous range should be based on the distribution at a date that is as early as feasible, while recognizing that going too far back would increase uncertainties due to scarcity of data. Ideally, this date would be set to “a time before human beings were the most important element limiting species’ distributions” (Sanderson 2019). However, variation among species in terms of data availability and quality means that such a criterion would result in assessments that may not be comparable. Therefore, species in the same geographic region and under similar threats

394 should have similar benchmark dates for determining indigenous range (Stephenson et
395 al. 2019). Based on analysis of trends in historical data on habitat cover and human
396 populations (from Klein Goldewijk et al. 2011), a default benchmark date of 1750 CE is
397 appropriate in most regions and is in line with the IPCC definition of the start of the
398 industrial era. This benchmark date can be modified (see Background and Guidelines),
399 but should not be earlier than 1500 CE or later than 1950 CE.

400

401 *b. Determining Expected Additional Range*

402 Expected Additional Range includes only those areas that are: (i) not part of the
403 indigenous range; **and** (ii) are currently suitable or strongly likely to become suitable in
404 the next 100 years; **and** (iii) are strongly likely to become occupied by the species in the
405 next 100 years, with or without human assistance (provided those with human
406 assistance conform with IUCN Standards and Petitions Committee 2019). This
407 likelihood can be assessed based on modelling (e.g. of climate-induced shifts), planned
408 translocations, or empirical observation of range shifts.

409

410 Because of the time horizons commonly used to project range changes due to climate
411 change, expected additional range would normally be used only for the long-term future
412 (i.e., for calculating the Long-term Potential). Unless some SUs within the expected
413 additional range can become occupied, or become focus of conservation efforts, in the
414 next 10 years, short-term future scenarios (for calculating Conservation Dependence
415 and Conservation Gain) do not have to consider expected additional range.

416

417 *c. Managed and Introduced Individuals*

418 For both indigenous and expected additional range, only "wild" individuals of the
419 species should be considered in determining the state in each spatial unit. For the
420 definition of "wild", see the current version of the Red List Guidelines (IUCN Standards
421 and Petitions Committee 2019), section 2.1.4.

422

423 For both indigenous and expected additional range, wild subpopulations resulting from
424 introductions outside the indigenous range of the species should be considered in
425 determining the state, provided certain conditions are met (see the current version of
426 the Red List Guidelines [IUCN 2019], section 2.1.3).

427

428 **2. Delineating spatial units**

429 Spatial units are used to incorporate representation, one of the three requirements of a
430 Fully Recovered species (see II.3). A Fully Recovered species occurs as a set of
431 functional populations across a representative set of ecosystems and communities
432 across its range. A practical way of assessing this condition is to determine the state of
433 the species in each of several spatial units that comprise its range, delineated to
434 represent the variation of ecological conditions or settings within the range of the
435 species. The spatial units must be chosen carefully because the Green Score is sensitive
436 to the number of units. Because spatial units are valued equally in the calculation of
437 Green Scores, they should be defined to represent areas of similar importance for the
438 species' conservation, both with respect to overall representation and with respect to
439 conservation action, across the full extent of the species' indigenous range and expected
440 additional range.

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Spatial units can be delineated by subpopulation, ecological and geographical features, and location, or a combination of these. Species-specific subdivisions based on species biology, such as subpopulations (defined in IUCN Standards and Petitions Committee 2019), are preferred. Subspecies, stocks, genetic units, flyways, evolutionarily significant units, and discrete population segments are all conceptually related to IUCN's definition of subpopulation. Although not species-specific, divisions based on ecoregions, habitat types, or ecosystem types can also be used to define spatial units because they are defined based on ecological criteria and thus capture the different ecological settings in which a species exists or existed. Geographical features (e.g., watersheds, islands, lakes, mountain ranges) can be proxies for subpopulations. Recent fragmentation of the species into "subpopulations" as a result of human activity is not an appropriate basis to delineate spatial units, if these "subpopulations" were historically connected. Finally, areas defined by their vulnerability to a specific threatening process ("locations" in IUCN [2019]) can be used to define spatial units, on the assumption that the status of the species will be similar throughout an area that is similarly threatened.

Many restricted range species may be assessed based on a single spatial unit, or two spatial units (e.g., one for the extant range and one for the extirpated range). This may also be the case for a species that has always existed in a very specific type of ecosystem or a species whose function is similar in the different ecological settings it exists in. For other species, three or more spatial units may be necessary to represent the variety of ecological conditions and contexts that the species occurs or has occurred in.

3. Assessing the state in a spatial unit

State in each spatial unit is assessed sequentially in the order Absent, Present, Viable, Functional. The definitions of Absent, Present, and Viable require the use of Red List categories; thus, the assessors should consult the latest versions of the Red List documents (IUCN 2012a, 2012b, IUCN Standards and Petitions Committee 2019). Assessors should document the most likely state in each spatial unit as well as the minimum and maximum plausible states, to reflect the level of uncertainty. The guidance for Regional Red Listing should be used unless there is only one Spatial Unit for the whole species.

a. Assessing Absence

The species is Absent in a spatial unit if its Red List category in the spatial unit is Extinct (EX), Extinct in the Wild (EW), Regionally Extinct (RE), Critically Endangered (Possibly Extinct) (CR(PE)), or Critically Endangered (Possibly Extinct in the Wild) (CR(PEW)). For methods to determine the Extinct category vs. the Possibly Extinct tags, see the current version of the Red List Guidelines. The weight for Absent in Equation 1 is 0.

b. Assessing Presence

The species is Present in a spatial unit if it occurs (i.e., not Absent), and either (i) its regional Red List category in the spatial unit is threatened, i.e., Vulnerable (VU), Endangered (EN) or Critically Endangered (CR), but not CR(PE) or CR(PEW), or (ii) the category is Near Threatened (NT) and the spatial unit population is undergoing "continuing decline" in population size, as defined by IUCN Standards and Petitions

488 Committee (2019). In spatial units that lack mature individuals, the presence of
489 immature individuals (including seed banks) qualify the spatial unit as Present.
490 Similarly, spatial units with extinction debt (i.e., lack of recruitment will cause eventual
491 local extinction) are assessed as Present, not Absent. A regional Red List assessment
492 (IUCN 2012b) requires provisions for the possibility of rescue effect as a result of
493 immigration from other spatial units, and may result in downlisting of the threat
494 category, e.g., from VU to NT (see IUCN 2012b). The state in the spatial unit should be
495 based on the category after any such applicable adjustment to the threat category.

496 The default weight for Present in Equation 1 is 3. Assessors may choose instead to give
497 the weight that corresponds to the specific regional Red List category for the population
498 in the spatial unit: 1.5 for CR, 2.5 for EN, 3.5 for VU, or 4.5 for NT with continuing decline
499 (see Background and Guidelines for an explanation of these fine-resolution weights). If
500 the Red List category is DD, use the weights for Absent (zero) for the minimum value
501 and Functional (9) for the maximum value.

502

503 *c. Assessing Viability*

504 The species is considered Viable in a spatial unit if a regional IUCN Red List assessment
505 (IUCN 2012) of the species in that spatial unit results in a designation of Least Concern
506 (LC); or a designation of Near Threatened (NT) and the spatial unit population is not
507 undergoing "continuing decline" in population size, as defined by IUCN Standards and
508 Petitions Committee (2019). A regional Red List assessment (IUCN 2012b) requires
509 provisions for the possibility of rescue effect as a result of immigration from other
510 spatial units, and may result in down-listing of the threat category, e.g., from NT to LC
511 (see IUCN 2012b). The state in the spatial unit should be based on the category after any
512 such applicable adjustment to the threat category.

513 The default weight for Viable in Equation 1 is 6. The assessors may choose instead to
514 give the weight from the following list that corresponds to the specific regional Red List
515 category in the spatial unit: 5.5 for NT without continuing decline, or 6.5 for LC. If the
516 category is DD, use the weights for Absent for the minimum value and Functional for the
517 maximum value.

518

519 *d. Assessing Functionality*

520 Functionality, like viability, is assessed within each spatial unit. This requires assessing
521 each spatial unit relative to functions that comprise the most important roles of the
522 species. Although these functions may not be easy to determine, incorporation of
523 functionality whenever possible is a critical element of an aspirational conservation
524 vision. However, consideration of functionality in the context of species recovery should
525 not be misinterpreted as prioritizing conservation of species based on their functional
526 importance.

527 Unlike the other states (Absent, Present, and Viable), Functional is not based on Red List
528 criteria (but see section on the relationship of Viability and Functionality in Background
529 and Guidelines). Functionality can be determined directly, by considering the
530 interactions of the species and its contributions to ecosystem processes; or indirectly,
531 by looking for symptoms of reduced functionality, analogous to the Red List approach of
532 identifying symptoms of reduced viability (Akçakaya et al. 2020). When a function
533 cannot be identified for a species, a number of proxies can be used to assess

534 functionality, including population density or age structure in areas of low human
535 impact or at a historical baseline.

536 Although, in principle, a population can contribute to a particular ecosystem process
537 even when at a high risk of extirpation, for the purposes of the Green Status assessment
538 process, the Functional score is only applied to spatial units that are also Viable. An
539 exception is the rare case of a spatial unit with a naturally small (<1000 mature
540 individuals) population which is performing its ecological functions at baseline levels,
541 but which would not meet the criteria for Viable because it would be assessed as VU
542 under criterion D on the Red List. If such a spatial unit population is not declining, is not
543 under a specific threat, and does not meet other criteria for VU, it may be assessed as
544 Functional.

545 If the spatial units are based on subpopulations, then a spatial unit is scored as
546 Functional if the subpopulation is Functional as defined above. If spatial units are not
547 based on subpopulations and there are multiple subpopulations per spatial unit, a
548 spatial unit is considered Functional if more than half of the subpopulations in that
549 spatial unit are Functional (but if using finer-scale weights, the threshold is different—
550 see below).

551 The default weight for Functional in Equation 1 is 9. The assessors may choose instead
552 to give the weight from the following list that corresponds to the proportion of
553 subpopulations within the spatial unit that were assessed as Functional: 8 for <40%, 9
554 for 40-70%, 10 for >70%.

555

556 **4. Developing the Counterfactual Current scenario**

557 The Counterfactual Current scenario is an alternative present, envisaged in order to
558 determine what the Current Green Score would have been had no conservation action
559 taken place in the past. Developing the counterfactual scenario requires determining
560 how the totality of all conservation actions from 1950 onwards has affected the
561 population trajectory of the species across this time period, to be able to estimate what
562 the state would have been today in each of the spatial units if those conservation actions
563 had not taken place. Counterfactual thinking is a common tool in conservation (see
564 Background and Guidelines for more details and instruction)

565 In developing the counterfactual scenario, the types of information to consider include
566 population size and trends, changes in distribution and habitat availability, severity,
567 scope and intensity of threats, and all conservation actions that have been put into effect
568 since the start of main conservation actions. Conservation actions that were in place at
569 1950 and all that came after should be considered. Assessors should state the starting
570 year of the past conservation actions considered in their assessment. In addition,
571 assessors should consider information on the effectiveness of each type of conservation
572 action within the broader context of changes in pressures and conservation
573 opportunities for the species in the spatial unit.

574

575 If no past conservation action has been taken, then the counterfactual current scenario
576 is the same as the current scenario.

577

578 **5. Developing future scenarios**

579 A future scenario projects the future state in each spatial unit under different
580 assumptions, for the purpose of calculating Conservation Gain, Conservation

581 Dependence, and Recovery Potential metrics. The types of information to consider in
582 developing future scenarios are similar to those for the Counterfactual Current scenario
583 discussed above. The assessor should consider both current threats and plausible
584 future threats. Future threats should be based on specific evidence (such as
585 development plans, socioeconomic projections, etc.) and should not be speculative.

586 *a. Future-with-conservation*

587 For the Future-with-conservation scenario (for assessing Conservation Gain), the
588 assessors should in addition consider the likely effects of all conservation interventions
589 that are currently in place or are planned during the 10-year assessment window.
590 However, assessors should not consider conservation actions that are thought of but not
591 planned (e.g., if no clear aims, cost estimates, or time frames are specified), or
592 conservation actions that are planned but are not expected to be initiated within the 10-
593 year window. For planned actions, assessors need to make realistic assumptions about
594 (i) the probability that the action will be implemented, and (ii) the probability that the
595 conservation actions will have a positive effect on a species' population in a given
596 spatial unit. For actions in place, the assessors should consider (ii). The likely benefits
597 expected from these conservation measures should be discounted by these
598 probabilities.

599 *b. Future-without-conservation*

600 For the Future-without-conservation scenario (for assessing Conservation
601 Dependence), the assessors should consider the likely effects of all conservation
602 interventions that are currently in place or are planned, and then remove their effects
603 from the projections, similar to removing the effects of past conservation actions in a
604 counterfactual scenario.

605 *c. Current Baseline*

606 The two future scenarios described in the previous sections (a and b) are compared to
607 the Current Baseline scenario in order to calculate the Conservation Gain and
608 Conservation Dependence metrics. Current Baseline assesses the likely state of the
609 spatial unit population after 10 years, based on current ongoing conservation action
610 only (including actions which are highly likely to be implemented within one year, with
611 funding and permissions in place), considering both current threats and plausible future
612 threats. Future threats should be based on specific evidence (such as development
613 plans, socioeconomic projections, etc.) and should not be speculative. The Current
614 Baseline scenario accounts for the potential for ongoing decline or recovery of a spatial
615 unit population regardless of planned conservation action or its withdrawal. If the
616 assessors do not wish to calculate a Current Baseline, then by default it is taken to be
617 the Current status.

618 *d. Long-term Potential*

619 For the Long-term Potential scenario (for assessing Recovery Potential), the assessors
620 should envision the plausible conservation effort and innovation which could occur
621 over the next 100 years. This includes actions which could be taken to eliminate threats
622 and opportunities for habitat restoration and increased connectivity. This scenario must
623 be realistic, considering the biological limitations of the species (e.g., generation time
624 and maximum rate of population increase) and its habitat (e.g., rates of regeneration). It
625 also needs to be realistic in terms of social, cultural and economic factors (e.g., projected
626 trends in urbanization), but the long-term potential should not be limited by current

627 political or budgetary constraints. This scenario is compared to the Current status (not
628 the Current Baseline) in order to assess Recovery Potential. Long-term Potential is not
629 meant to be an accurate prediction, because it would be impossible to accurately predict
630 all the natural, social, economic, and technological changes to happen in the next 100
631 years. Rather, it is meant as a reasonable expectation of how much the species could
632 recover, given what is known today.

633

634 **6. Incorporating uncertainties**

635 Uncertainty about the state of the species (Absent, Present, Viable, Functional) in each
636 spatial unit and for each scenario should be explicitly stated by specifying: (i) the lowest
637 plausible state; (ii) the highest plausible state, and (iii) the most likely (best) state.
638 These uncertainties are propagated to calculate the minimum and maximum values of
639 the four conservation impact metrics (see Background and Guidelines, and Akçakaya et
640 al. 2018, Appendix S1).

641

642 **7. Documenting assessments**

643 To ensure assessments are fully justified and to allow assessment data to be analysed, a
644 set of minimum supporting information is required. These data facilitate transparency
645 and repeatability and enable users to search and find information easily on the website.
646 *The Background and Guidelines for the IUCN Green Status of Species* provides guidance
647 on the following: (i) Required supporting information for all Green Status assessments;
648 (ii) Required supporting information under specific conditions; and (iii) Recommended
649 supporting information. Note that the Documentation Standards will be updated from
650 time to time.

651

652 **8. Communicating assessment results**

653 How the results of an assessment are presented depends on who would use them and
654 how. For some audiences, only one or two of the four conservation impact metrics may
655 be relevant; for others all four can be presented. For most analyses involving multiple
656 species, and for most research purposes, the numerical (percentage) values of the four
657 conservation impact metrics, and their uncertainty bounds, should be used. For other
658 purposes, the results may be communicated as a combination of these numerical results
659 and categories, consistent with the categories and thresholds specified above (see
660 *Categories and thresholds*, IV.3).

661

662 **9. Regional (including national) assessments**

663 Green Status assessments at regional spatial scales are possible, but require careful
664 considerations of the "indigenous and expected additional range" and "parts of the
665 range" aspects of the definition of Fully Recovered. It is strongly recommended that
666 regional assessments (including national assessments) are done only after the first two
667 steps of the global assessments are completed: determining the indigenous and
668 expected additional range, and delineating spatial units.

669

670 To the extent possible, the species' range considered in a regional assessment should
671 involve one or more of the spatial units of the global assessment in their entirety. In
672 other words, regional or national assessments should avoid dividing a spatial unit
673 determined and delineated for the purposes of a global assessment. Including whole

674 spatial units (of the global assessment) in regional assessments will make it possible to
675 combine results of two or more regional assessments, and therefore facilitate the
676 information flow from regional to global assessments.

677

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102nd Meeting of the IUCN Council

By conference call on 1 December 2020 from 10.00 AM to 2.15 PM UTC/GMT

PROGRAMME AND POLICY COMMITTEE (PPC)

55th Meeting, 24 November 2020 – Skype for Business

Report to Council

Approved by the IUCN Council, 102nd Meeting, 1 December 2020

PPC members in attendance: Jan Olov Westerberg (Chair), Amran Hamzah (Deputy Chair), Peter Cochrane, Jonathan Hughes, John Robinson, Michael Hosek, Carlos Durigan, Angela Andrade, Sean Southey, Kristen Walker (partly).

Absent: Ana Tiraa, Natalia Danilina

IUCN Staff in attendance: Cyrie Sendashonga, Jane Smart, Stewart Maginnis, Thomas Brooks, Juha Siikamaki, Téa Garcia-Huidobro, Sonia Peña Moreno, Victoria Romero

Opening of the meeting

The PPC Chair, Jan Olov Westerberg, opened the meeting at 13:05 and welcomed members of PPC and staff.

PPC/1	<p>Process for the development of the 2021 Work Plan</p> <p><i>Purpose of the agenda item</i></p> <p>Given that Members are currently considering draft IUCN Programme 2021-2024, ahead of the electronic vote in January 2021, the PPC is invited to consider the progress in the development of the Work Plan for 2021 (with a view to make a recommendation to Council at its next meeting).</p> <p><i>Brief summary of the discussion</i></p> <p>Stewart Maginnis, Global Director Nature-based Solutions Group, made a short presentation highlighting that this will be the first Work Plan based on the Programme 2021-24, currently being discussed online. He emphasized the importance of having a clear line of sight in terms of progress in the delivery of the IUCN Programme. Even though the draft Programme is presently under discussion, the Secretariat has advanced on the preparation of the Work Plan with the establishment of an output to outcome framework that aligns delivery of our portfolio of projects with the intended programmatic impacts. In concluding his presentation, Stewart alluded to the tentative timeline and next steps as illustrated below aiming at completing the Annual Work Plan by the end of March 2021 for approval by Council before uploading in the Project Portal:</p>	DEC
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Date	Action
4 th Dec	Finalise draft of working draft of portfolio results framework
11 th Dec	Regions and Thematic Units notified to begin to prepare draft work plan
13 th Jan	Regions and Thematic Units begin to prepare draft work plans (making provision for any changes included in the published Programme)
12 th Feb	Unit level work plan drafts completed and draft consolidated annual work plan initiated
17 th Feb	Incorporation of final amendments to both consolidated and unit work plans based on e-vote results Modifications to Project Portal begin
26 th March	Annual work plan completed
30 th April	All annual work plans uploaded in revised Project Portal

A few comments and questions were made by PPC members. They focused on the relationship between the outputs and outcomes and the intended impacts, the different timeframes that we are now considering with the adoption of a 10-year overarching Programme framework, the 4-year portfolio results framework and the year by year annual work plan, and finally on the role of Commissions in the later.

Conclusions

The IUCN Council, on the recommendation of the Programme and Policy Committee, **takes note** of the process to develop the 2021 Work Plan and **requests** the Secretariat to present the Work Plan as soon as it will be ready in March 2021 for Council's endorsement by the fastest possible process available at that time.

PPC/2

IUCN Annual Progress Report 2019

INF

Purpose of the agenda item

The Programme and Policy Committee is invited to take note of the IUCN Annual Report 2019.

Brief summary of the discussion

Cyrie Sendashonga, Global Director, Programme and Policy Group, made a brief update. She mentioned that the Annual Report 2019 providing a review of progress on the third year of implementation of the IUCN Programme 2017-2020 as it nears completion. was not yet finalised at the time of the last Council meeting in February 2020, Since then, key data on finance and implementation of the IUCN Programme was made available, and the Annual Report 2019 has been completed and distributed.. Council had received the document containing the IUCN Annual Progress Report 2019.

Conclusions

The Programme and Policy Committee **takes note** of the update on the IUCN Annual Report 2019.

PPC/3

The Green Status of Species Standard proposed by SSC

DEC

	<p><u>Purpose of the agenda item</u> The PPC is invited to approve the IUCN Green Status of Species Standard developed by the Species Survival Commission.</p> <p><u>Brief summary of the discussion</u> Jane Smart, Global Director, Biodiversity Conservation Group, briefly presented on behalf of Jon Paul Rodriguez, Chair of SSC. Briefly recalling the mandate received through Resolution WCC-2012-RES-41 of the 2012 World Conservation Congress which requested SSC to conduct international scientific consultations to develop objective, transparent and repeatable criteria for Green Lists that systematically assess successful conservation of species, Jane explained that SSC had convened a Task Force on Assessing Conservation Success under the auspices of the IUCN Red List Committee to oversee the development of this Standard. The Task Force developed a framework for measuring species recovery and conservation impact, which proposed a definition of a fully recovered species based on viability, functionality, and representation, and defined metrics to quantify the importance of conservation for a species. The resulting Green Status of Species constitutes a standardized framework for species conservation. Jane mentioned that the Standard is now ready for approval and roll-out.</p> <p>PPC members briefly discussed whether the Standard needed to be brought to the Membership’s attention at the Members’ Assembly during Congress. PPC reflected that Council is entitled to approve the Standard and that a motion was not necessarily needed to get it through by Members. They suggested looking into the various ways through which the Standard can be brought to the Members’ attention, discussed with them and promoted, perhaps during Forum sessions at Congress.</p> <p><u>Conclusions</u></p> <div style="background-color: yellow; padding: 10px; border: 1px solid black;"> <p>The IUCN Council,</p> <p>On the recommendation of the Programme and Policy Committee, approves the Green Status of Species Standard</p> </div>	
PPC/4	<p>Report from the Council’s Global Oceans Focal Person</p> <p><u>Purpose of the agenda item</u> PPC is invited to hear an update on the work on oceans since the last meeting in February 2020 by Peter Cochrane, Council’s Global Oceans Focal Person. Peter had prepared a presentation which PPC members received before the meeting.</p> <p><u>Brief summary of the discussion</u> The presentation highlighted the near achievement of the 10% target on marine protected areas (MPAs) in 2020, the postponement of the BBNJ negotiations, and noted that draft Operational Guidelines for potential World Heritage in areas beyond national jurisdiction are currently under review by IUCN. The presentation further noted the increasing role of ocean in the global dialogue, as evidenced at the UN Biodiversity Summit, the momentum the 30x30 target is gaining, the updated maritime strategy of the EU Green Deal and the numerous blue papers released by the High-Level Panel on the Sustainable Ocean Economy.</p> <p>Peter noted that a key take away for oceans and 2020 was that while many meetings didn’t happen, IUCN and many other organisations have been very active, especially working with some leading governments e.g. on post 2020 targets (30 x 30), and with the financial and banking sectors - noting the number of blue funds and new funding instruments that have been launched this year.</p>	INF

	<p>IUCN’s Marine and Polar Programme has been actively engaged in all the above-mentioned developments and for the first time in a long time participated in the 39th meeting of CCAMLR and the Arctic Council meeting. Some of the events planned for next year include the kick-off event of UN Decade of Ocean Science for Sustainable Development and the OurOcean2021.</p> <p><u>Conclusions</u></p> <p>The Programme and Policy Committee notes with appreciation the update on oceans.</p>	
PPC/5	<p>Follow-up on the 2016 Congress Resolutions requiring action from Council</p> <p><u>Purpose of the agenda item</u> Update on the eleven 2016 Resolutions requiring action from Council.</p> <p><u>Brief summary of the discussion</u> Cyrie Sendashonga provided an update on the Hawai’i Resolutions requiring action by Council, in particular those that fall under the remit of PPC. Key tasks were completed for 5 of the Resolutions, including the archiving of obsolete Resolutions, the adoption by Council of EICAT, the development and approval of a policy statement on primary forests, the declaration of Astola Island as a marine protected area and the principles of a draft policy on synthetic biology and biodiversity conservation (RES 6.001, 6.018, 6.045, 6.052, and 6.086). There have been other major developments in remaining Resolutions, such as the creation of the Urban Alliance with a number of different activities, in particular the ongoing development of an Urban-Nature Index (RES 6.029 – Jonny Hughes); the launch of the Global Fund for Ecosystem-Based Adaptation, the Global Standard on Nature-based Solutions, and guidance to countries for integrating nature-based solutions in their NDCs (RES 6.056 – Angela Andrade). On the latter, Stewart Maginnis mentioned IUCN’s close engagement with the upcoming UNFCCC-COP26 UK Presidency as NBS advisor and the possibility to continue to do so for COP27 to be held in Africa.</p> <p>Kristen Walker informed that the Summit of Indigenous Peoples’ Organizations would have a particular focus on COVID and post-COVID (6.075), and that in regard of ICCAs, they are working on publication to be launched during Congress (RES 6.030).</p> <p>Some of these Resolutions have follow-up actions in recently adopted Marseille Resolutions and in the yet-to-be-voted-on motions.</p> <p><u>Conclusions</u></p> <p>The Programme and Policy Committee notes with appreciation the update on the 2016 Resolutions requiring action from Council.</p>	INF
PPC/6	<p>Update on the online discussion of the draft IUCN Programme 2021-24 incl. any revisions proposed in relation to IUCN’s response to COVID-19</p> <p><u>Purpose of the agenda item</u> PPC will hear an update on the progress of the online discussion of the draft IUCN Programme 2021-24 that will be open until 3 December 2020.</p> <p><u>Brief summary of the discussion</u> The Chair invited Cyrie Sendashonga and Amran Hamzah, lead facilitator of the online discussion, to provide an update noting however the low level of activity of Members in the online discussion of the Programme so far.</p>	INF

Cyrie shared the observation by the Chair regarding the low level of engagement of Members in the online discussion so far but also recalled that this has been the case for the online discussion of motions that concluded earlier in the year and that Members tend to comment towards the closing date. She briefly referred to the comments made by Professor Richard Ottinger, Pace Law School, calling for the inclusion of renewable energy as part of IUCN work programme. She noted that these comments are not new and had been made at previous Congresses already and through different channels. She recalled that at the 2016 WCC, the Members Assembly had rejected a similar amendment that was seeking to introduce work on renewable energy in the context of phasing out fossil fuels as a thematic area in the IUCN Programme 2017-2020.

Amran briefly recalled the 3 main clusters of comments received so far: 1) from the Japan National Committee on the process of the online discussion and clarification on the development of the web-based platform for capturing Members' contributions to the Programme; 2) from Professor Ottinger already mentioned by Cyrie; and 3) from the Norwegian Environmental Agency which were more of an editorial nature.

Following a question on the status proposed consultation with Members regarding IUCN responses to COVID19, the PPC Chair explained that the process was somehow stalled and the Working Group that was initially proposed had not made any progress.

On the issue of COVID and how to integrate wider health-environment considerations into the Programme of IUCN, Sean Southey asked whether it wouldn't make sense to already form a PPC small group to consider this issue closely as it is likely to emerge. John Robinson also asked PPC to reflect on whether IUCN should (and how) take into consideration the findings in the reports and work that has been carried out recently on the subject of the environment and pandemics by IPBES and GEF for example.

Peter Cochrane noted that there are several specialist groups within the Commissions that are addressing the environment-health and well-being linkages (WCPA, CEESP, CEM) and suggested that the Programme should certainly reflect on the destruction of nature, wildlife trade and zoonotic diseases specifically and assumed that some Members would make this point (rather than leave it to PPC). He also pointed out at the fact that the word 'zoonotic' doesn't appear in the draft Programme.

Cyrie asked PPC to further reflect on its role in the revision of the Programme – is it to propose editorial changes to modify the Programme or to provide guidance on the process to modify the Programme. She also asked if the latest IPBES report is as authoritative to be referenced in the IUCN Programme, noting that there were different views from some in IUCN regarding the robustness of the evidence-base in the IPBES report in question..

The PPC Chair recommended to further discuss this at the next PPC meeting which should take place soon after the closing of the online discussion on 3 December. He encouraged PPC members to think about concrete proposals for discussion at that meeting including on the process and timeline for completing the revised document in time for its publication for the e-vote in accordance with the timeline that was communicated to the Membership. In this regard, he asked Cyrie to also check with Luc De Wever on procedural aspects and update PPC accordingly at its next meeting.

Conclusions

	<p>The Programme and Policy Committee, takes note of the update on the online discussion of the draft IUCN Programme 2021-24 so far and the next steps in the process including on any potential revisions in relation to IUCN's response to COVID-19.</p>	
PPC/7	<p>Update on evaluations</p> <p><u>Purpose of the agenda item</u> Téa Garcia-Huidobro (a.i. Head of Planning, Monitoring, Evaluation and Risk Management) presented an annual update on evaluations.</p> <p><u>Brief summary of the discussion</u> In 2020, 11 project evaluations were completed as well as the external review of IUCN Programme 2017-2020. The management response will be released next week ahead of the 102nd meeting of the Council at the same time as the external review. It is expected that the review will provide crucial information for the implementation of the upcoming programme. The results show that there have been substantial improvements over the last programme 2013-2016. A number of findings and areas requiring improvement relate to the difficulty of successfully measuring the effectiveness of the programme and its ability to generate impact due to the lack of a robust monitoring programme.</p> <p>Overall, the results of the review were satisfactory. Reviewers provided 4 big recommendations:</p> <ul style="list-style-type: none"> - Build a results-based programme: clearly integrating projects, thematic programmes into the Global Programme. - Transform IUCN into a learning organisation: will require improving the M&E system to better capture lessons learned. - Clarify resource mobilization and place innovation at its centre: IUCN's acknowledge the need to develop a resource mobilization strategy but dealt with innovation in a separate manner, while acknowledging the role of innovation as a lever for increasing funding. - Accompany change processes outlined above. <p>For 2021, at the Secretariat portfolio level, 24 evaluations are planned. At the more strategic level, the 2017-2020 French Framework Agreement will undergo an evaluation.</p> <p>The presentation was well received. Jonny Hughes cautioned against delving too much in complex theories of change, and considered that while it is important that we strive for impacts, attribution is complicated in the real world and that the response to some of these recommendations needs to be proportionate and not go overboard in trying to map out precise impact trajectories.</p> <p><u>Conclusions</u></p> <p>The Programme and Policy Committee notes with appreciation the update on evaluations.</p>	INF
	<p>Closing of the meeting The PPC Chair thanked everyone and closed the meeting at 15:40.</p>	



102nd Meeting of the IUCN Council, 1 December 2020

FINANCE and AUDIT COMMITTEE (FAC)

74th Meeting, Held by Teleconference,
24 November 2020

Report to Council

Approved by the IUCN Council, 102nd Meeting, 1 December 2020

FAC.74/1	<p>Approval of the agenda</p> <p>The Finance and Audit Committee approved the agenda as presented.</p>	INF
FAC.74/2	<p>Financial update for 2020 and forecast for the year</p> <p><i><u>Purpose and background</u></i></p> <p>The CFO presented the financial update for 2020 and forecast for the year.</p> <p>The result at the end of October is a deficit of CHF 0.2m which is in line with the budgeted result for the period.</p> <p>The forecast for the year-end is breakeven; however, there are several risks that could adversely impact the result when the year is closed. These are:</p> <ol style="list-style-type: none"> 1) Congress – the forecast assumes that costs incurred in 2020 (except those funded by core allocations) will be carried forward and covered by Congress income when the event occurs in 2021. 2) Project deficits – there could be a requirement to make provisions for projects that have been adversely impacted by Covid-19. 3) Additional accruals may be necessary for staff leave earned but not taken. Many staff have delayed taking leave due to Covid-19 restrictions. 4) In accordance with the decision taken by FAC in its 69th meeting (FAC.69/11) to use reserves to fund the WCEL Congress, an allocation will need to be made at the year-end. <p>Investment Portfolio update: The portfolio is down by 1.5% from the start of the year, accounted for by:</p> <ul style="list-style-type: none"> • 0.77% reduction due to currency effects • Impact of COVID-19 on investments • Negative interest rates in Switzerland 	INF

	<p><u>Summary of the discussion</u></p> <p>The FAC commended the Secretariat for working towards a breakeven budget by year end, despite the uncertainties in 2020.</p> <p>The Treasurer asked if IUCN is required to provision for Congress costs in 2020. The CFO responded that IUCN is not required to do so but that preparatory costs incurred in 2020 should be recognised in 2020. IUCN does not have a specific accounting policy for Congress but IFRS guidance requires losses to be recognised in the year that they are incurred (i.e. 2021 in the event of a Congress loss). This matter will be discussed with the statutory auditors and their advice sought.</p> <p>The FAC noted that a break-even result for 2020 is being targeted. However, if additional costs are incurred on the four items listed above, which cannot be fully quantified at this stage, a deficit may result. Any such deficit will reduce undesignated reserves brought forward of CHF 17.6m. Additionally, if a transfer is made from undesignated to designated reserves on account of the WCEL conference, undesignated reserves at year end will decrease accordingly.</p> <p>The FAC requested that the financial impact of the four items that could adversely impact the financial result be quantified in the next few week and shared with the FAC.</p> <p><u>Conclusion</u></p> <p>The Finance and Audit Committee TOOK NOTE of the results to 31 October and the forecast for the year. The Committee noted that a break-even forecast was an optimistic scenario and requested that the impact of the four items that could adversely impact the result be quantified to the extent possible and that the figures be shared with the FAC before the year end.</p>	
FAC.74/3	<p>Congress update</p> <p><u>Purpose and background</u></p> <p>The Congress Manager gave an update on the Congress Budget financial forecast for 4 different scenarios, namely;</p> <ol style="list-style-type: none"> 1. Congress goes ahead in 2021 without significant change to the current configuration – projected deficit CHF 1.5m 2. As scenario 1 but with e-elections for president and Council – projected deficit CHF 1.6m 3. Cancellation of Congress – projected deficit CHF 4.2m 4. Virtualisation of Congress– projected deficit CHF 3.3m 	INF

She explained the scenarios and the basis of the assumptions made.

Summary of the discussion

The FAC commended the Congress team for the work they had done so far despite the uncertainties arising from the Covid-19 pandemic.

The FAC noted that the scenarios detailed in the report. They recommended that a variant of scenario 1 be produced that would assume that a vaccine would be widely available in time for people to travel for congress. The secretariat, noting that information on a possible global vaccination programme and related costs was unknown, agreed to add a scenario with such an assumption.

The FAC was informed that CPC would consider a calendar of events at its next meeting that will influence when certain decisions will be made. As such, the FAC role was to look at the cost implications of each of the choices and advise Council on how those will affect IUCN from a financial point of view.

The FAC noted the importance of agreeing plans with the host government, noting that the CHF 2.2m direct cash investment by the host government could be at risk if IUCN were to arrive at a conclusion that did not have the buy-in of the host government.

Conclusion

The Finance and Audit Committee TOOK NOTE of the financial projections for various scenarios for Congress and requested that a variant of scenario 1 be prepared with the assumption that a vaccine would be available for delegates to attend a physical meeting.

Addendum: revised paper (FAC 74.3 revised) provided on 30 November 2020

The Secretariat subsequently developed an alternative scenario that assumed the availability of a vaccine. This scenario assumes an attendance level of 85% of participants compared to the Hawaii Congress. The projected deficit is CHF 0.9m.

Other scenarios were also updated post FAC meeting and the projected deficits revised as follows:

- Scenarios 1 and 2: CHF 1.8m
- Scenario 3: 4.0m
- Scenario 4: 2.8m

FAC.74/4	Resource mobilisation update	INF
	<p><u>Purpose and background</u></p> <p>The Director of the Strategic Partnerships Unit (SPU) presented a report on resource mobilisation. The report is an update for 2020 and an outlook on 2021 on Framework funding, Patrons for nature, and project funding as well as a summary of plans to strengthen IUCN's internal Resource Mobilisation capacity from 2021 moving forward.</p> <ul style="list-style-type: none"> • Covid-19 pandemic has made resource mobilization difficult in 2020 but IUCN is adapting as necessary. • Framework income for the intersessional period 2017-2020 has exceeded budgeted amounts for the period by CHF 4m, specifically due to funding increases by Sweden and Switzerland. • Negotiations for 2021-2024 Framework commitments are underway. • Delayed Congress, and consequently the delay in approving the 2021-2024 Programme, is influencing the negotiations for the signing of new framework contracts. Sweden and Switzerland have agreed to extend the current partnerships to 2021 to bridge this gap. • Negotiations are underway with Denmark to re-join as a Framework Partner from 2021. A four-year Framework Agreement is expected to be signed before the end of 2020. • IUCN will be looking at doubling the number of Patrons over the next four years. • The project portfolio value at the end of October 2020 stood at CHF523 million with the European Commission still leading as IUCN's largest donor, followed by Germany, the GEF, the USA, the Green Climate Fund and Sweden. • CHF 500K per year will be invested over the next 3 years to increase the capacity of the Strategic Partnerships Unit, specifically to: <ul style="list-style-type: none"> ○ Increase funding from Philanthropy and Foundations in the USA, ○ Focus on new Framework funding sources, and ○ Increase funding from the private sector. <p><u>Summary of the discussion</u></p> <p>The FAC commended the Strategic Partnership unit for the continued engagement with partners, and especially in ensuring the return of Denmark as a Framework donor, despite the challenging fundraising environment.</p> <p>The Head of the Strategic Partnership unit, in answering questions from members, indicated that;</p>	

	<ul style="list-style-type: none"> • The Terms of Reference of the External Review were largely based on the OECD DAC criteria such as Relevance, Efficiency, Impact, Sustainability, and Gender and Social Inclusion. • The objective of the review was to evaluate the overall performance of the IUCN Programme 2017-2020 to ensure the accountability of IUCN towards its Members, donors and other stakeholders. • The recommendations and IUCN's responses will be shared with all relevant parties and will be posted on the IUCN website. <p>The Director General informed the FAC of his desire to enhance the role of SPU, as well as to work with other Secretariat functions to find new innovative ways of generating unrestricted income. He noted that the current level of IUCN reserves was not adequate in light of the risks faced by the organisation and that the level could only be increased by budgeting and realising a surplus. This in turn could only be achieved through new business lines that included a profit margin or through membership dues. Increasing unrestricted income was also essential for investment purposes and to provide operational flexibility.</p> <p><u>Conclusion</u></p> <p>The Finance and Audit Committee TOOK NOTE of the Resources Mobilisation update and supported the Director General's initiatives to increase unrestricted income.</p>	
FAC.74/5	<p>Review of the 2021 budget</p> <p><u>Purpose and background</u></p> <p>The CFO presented a summary of the 2021 draft budget.</p> <p>A breakeven budget is proposed. The highlights of the proposed budget include;</p> <ul style="list-style-type: none"> – Total budget: CHF 143m (Forecast for 2020: CHF 123m) – Healthy and growing project portfolio: +CHF 500m – Significant investments foreseen: CHF 2.0m <ul style="list-style-type: none"> – Resource mobilisation: CHF 0.5m <ul style="list-style-type: none"> ▪ to generate unrestricted income as a base for building reserves in future years – Strengthening accountability: CHF 0.4m <ul style="list-style-type: none"> ▪ monitoring results and impact – Innovation and organisational development: CHF 0.8m <p>He highlighted the following key financial challenges and risks:</p> <ul style="list-style-type: none"> – Reserves were low: CHF 18m 	DEC

- The risk of a Congress deficit
- The risk of low levels of project implementation if Covid-19 persists
- The need to continually drive efficiency and cost effectiveness

Summary of the discussion

The FAC commended the CFO and the Secretariat for the Budget presented.

The Director General informed the FAC of his desire to steer IUCN such that;

- Projects budgets were always breakeven and were not being subsidised by unrestricted income
- IUCN grows its unrestricted income sources and volume by tapping into new partners
- IUCN seeks and implements innovative ways of creating new business models so as to grow funding for both investments and reserves

The FAC commended the DG on pursuing new business lines for growing unrestricted income, noting that FAC has made recommendations to this effect previously.

The Treasurer, noting that the 2021 budget was a step on a longer journey, commented that;

- The budget is based on optimistic assumptions given the risks and uncertainties foreseen in 2021. The inherent risks needed to be quantified
- It is essential to have a long term plan for growing investments and reserves, beyond the annual budgeting exercise and the four-year financial plan
- Cost effectiveness/efficiency should be evaluated for the entire Secretariat

Prior to the FAC meeting, the Treasurer had shared other comments on the budget with FAC members and the Secretariat. The FAC took note of these comments and the responses provided by the CFO.

The CFO informed the FAC that the Secretariat will prepare a sensitivity analysis on the budget to address the risk issues raised by the Treasurer.

The FAC requested the Secretariat to prepare and present to the Committee an implementation plan for the financial strategy that would go beyond the 2021 budget.

The chair proposed that the FAC task force could be reconvened to review and advise on the implementation plan.

	<p><u>Conclusion</u></p> <p>The FAC recommends that Council approves the 2021 Draft Budget as presented, noting the need for the Secretariat to prepare and share with the FAC a longer-term implementation plan for the financial strategy and a sensitivity analysis of the 2021 budget.</p> <div style="background-color: yellow; padding: 5px;"> <p>Draft decision The IUCN Council, <i>on the recommendation of the Finance and Audit Committee,</i> approves the 2021 budget and requests the Director General to prepare:</p> <ol style="list-style-type: none"> 1) A sensitivity analysis based on less optimistic assumptions; and 2) an implementation plan for the financial strategy. </div>	
FAC.74/6	<p>Report from the Head of Oversight</p> <p><u>Purpose and background</u></p> <p>The Head of Oversight (HoO) presented her report which covered:</p> <ul style="list-style-type: none"> • Insights on IUCN's Corporate Governance, Risk Management and Compliance (GRC) framework <ul style="list-style-type: none"> ○ In a Volatile, Uncertain, Complex and Ambiguous (VUCA) world, an integrated approach to GRC is important with more upstream thinking and decision-making required ○ GRC can support IUCN with accountability and oversight framework and ESG reporting ○ IUCN is maturing in the areas of controls and risk ○ Compliance is an area of donor focus and IUCN is weaker in this area ○ Of the ten indicators presented, ethics and compliance are the two areas recommended to be strengthened in IUCN • Internal Audit, Advisory, and Consulting services <ul style="list-style-type: none"> ○ There was a significant increase in the level of advisory services provided by the Oversight unit to management, performed at the expense of internal audit work. Over 45 advisory services were provided by the HoO in 2020. ○ The Oversight Unit (OU) is supporting management in developing an integrated whistle-blower policy and anti-money laundering / countering the financing of terrorism (AML/CFT) policy. ○ In 2020, the OU presented a conceptual integrity framework and approach to the Governance and Constituency Committee (GCC). 	

	<ul style="list-style-type: none"> • A summary of integrity events and internal investigations • Steps taken to update and modernise the Oversight Unit: <ul style="list-style-type: none"> ○ In September 2020, IUCN Director General approved: <ol style="list-style-type: none"> 1. The IUCN Internal Audit, replacing the 2015 IUCN Policy on Internal Audit 2. The IUCN Investigation Charter <p><u>Summary of the discussion</u></p> <p>The Treasurer asked if there were any plans to outsource any of the work of the Oversight Unit. The HoO replied that there is no current plan to outsource any work of the Oversight unit.</p> <p>The FAC noted that with increasing donor demands and a growing project portfolio, which brings additional risks, the demands on the Oversight unit were growing.</p> <p>In response to a question on the optimum level of resources for the Oversight Unit, the HoO noted that organisations of a similar size to IUCN had significantly higher levels of resources.</p> <p>The FAC noted that the Oversight Unit resource gap needed to be addressed, as did weaknesses in Ethics and Compliance work.</p> <p>The Chair asked the HoO to present the GRC integrated framework reporting at a future FAC meeting.</p> <p><u>Conclusion</u></p> <p>The Finance and Audit Committee TOOK NOTE of the report from the Head of Oversight, and APPROVED: 1) the IUCN Internal Audit Charter (2020); and 2) the IUCN Investigations Charter (2020).</p> <p>The Finance and Audit Committee recommended to the Director General that the Oversight unit resources be increased in line with the increasing levels of risk and demands on the Oversight Unit.</p>	
FAC.74/7	<p>Report of the Risk Officer, including report of the FAC risk working group</p> <p><u>Purpose and background</u></p> <p>The Risk Officer presented an update of the Enterprise Risk Management Framework and the Risk Register, including a report of the FAC Risk working Group.</p> <p>Key Items included;</p>	INF

	<ul style="list-style-type: none"> • The inherent risk for Corporate Governance Risk related to COVID-19 had been reduced as a result of; <ul style="list-style-type: none"> ○ Increased number of meetings of Bureau and Council ○ Intensified communication among Council Members, ○ Commission's reports on COVID-19 potential actions (COVID-19 resources), and ○ Specific COVID-19 Council meeting. • Measure to reduce the likelihood of the residual risk for Corporate Governance were considered. These could take the form of; <ul style="list-style-type: none"> ○ Long-term financial planning, scenarios, and implementation of strategic decisions, and ○ Strengthening communication and feedback mechanisms to analyse the funding opportunities and impact on portfolio implementation using risk management approaches. • The FAC Risk Working Group met in November 2020 to review the triggers, causes and planned mitigation measures related to Governance risk. It was decided that this working group would meet more regularly. • Financial Risks linked to COVID-19 pandemic: <ul style="list-style-type: none"> ○ Financial Risk management residual likelihood changed from high to medium ○ IUCN Congress residual likelihood changed from high to very high ○ A risk of solvency of partners and grantees had been added to the Risk Register to reflect the likely effects of COVID-19 on IUCN's partners. This is rated high for inherent risk and medium for residual risk. • The expression of risk appetite that IUCN is prepared to take has not changed from 2019. FAC is asked to re-endorse the Risk Appetite Statement for 2020. The Risk Officer will undertake an in-depth review of IUCN's Risk Appetite Statement in 2021, in consultation with the Secretariat and FAC <p><u>Conclusion</u></p> <p>The Finance and Audit Committee TOOK NOTE of the update on the Enterprise Risk Management Framework, and the Corporate Risk Register. The FAC took note of the Risk Appetite Statement and that no changes were required at this point.</p>	
FAC.74/8	<p>Report of the Legal Adviser</p> <p><u>Purpose and background</u></p> <p>The Legal Advisor presented an overview of the existing legal actions against or by IUCN, key statistics, a summary description of major cases, and developments since the last meeting of the FAC.</p>	INF

	<p><u>Summary of the discussion</u></p> <p>The Legal Advisor responded to various questions posed by the committee.</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.</p>	
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9th Meeting of the Congress Preparatory Committee (CPC)
(24 November 2020)

Report

Approved by the IUCN Council, 102nd Meeting, 1 December 2020, decision C102/8,
with revisions made by Council indicated in **red text**

Participants:

CPC: Jennifer Mohamed-Katerere (Chair), Andrew Bignell, Mamadou Diallo, Hilde Eggermont (partially), Francesco Gaeta (Host Country), Sixto Incháustegui, Malik Amin Aslam Khan (partially, proxy to the Chair), Kathy MacKinnon, John Robinson, Yann Wehring (Host Country), Nihal Welikala.

Regrets Ali Kaka (proxy to the Chair), Ana Tiraa

Host Country observers: Marc Strauss

Secretariat: Luc De Wever, Pamela Grasemann, Enrique Lahmann, Elodie Lamine, Marc Magaud

Process and date for confirming viability of in-person event

At its last meeting on 1 September 2020, the CPC concurred that no third postponement should be considered by Council, but that instead, it was necessary to agree on a cut-off date by when to confirm the viability of the in-person event. On 24 November, the Committee considered the process and options presented by the Secretariat which compared three different cut-off dates in terms of impact (190 days, 130 days and 70 days before Congress). It noted that while most costs increase proportionally on a monthly basis, there are some key tipping points where costs will increase substantially for IUCN (4 months/2 months). In general, the later the cut-off date to cancel the event, the higher the unrecoverable expenditures for IUCN, Host Country, session organisers, exhibitors, and participants and the more adversely the relationships with sponsors, exhibitors and partners are affected. On the other hand, the evolution of the pandemic remains unpredictable and a decision about viability of the in-person event seven months before is likely premature.

The Host Country informed the Committee that France was strongly supportive of IUCN's suggestion to hold the Congress in September 2021 and considers it feasible to officially announce the new dates before the end of 2020. However, the publishing of the new dates must be made jointly through an official announcement at a time to be agreed between IUCN and the Host Country as this was very sensitive given the current lockdown situation in France.

In general, the Host Country needs to announce the dates at the latest nine months before in order to be able to handle all public procurement processes and would urge to set the cut-off date at least four to four and a half months prior to the Congress as to minimize financial liabilities on its side. The cut-off date thus could be determined at the same time as the new dates for the Congress.

The Committee concurred that in order for Council to take a decision on the cut-off date, a general assessment of the situation and risk forecast should be undertaken by the Secretariat and the Host Country, and that such assessment should be conducted just shortly before the decision-making. Such assessment will need to be very broad analysis on the global situation of the pandemic and its management. The assessment could also consider specific criteria such as travel bans, the recommendations of local or national authorities on the possibility of holding events in France, the projected vaccine availability at a global level, as well as the ability to apply for visas.

The CPC requested the Secretariat and Host Country to assess the availability of the vaccine at global level and consult the WHO in that process as well as include WHO recommendations on international travel at that time. The Committee also noted that the French government or European authorities may impose vaccination for travellers coming to France or Europe or attending events and that airline carries might do the same and this would have to be taken into account in the assessment. CPC discussed whether IUCN could impose a vaccine obligation for its participants but concurred that this is likely unrealistic. The key criteria for the Host Country in the assessment will be whether the French authorities will allow large events.

CPC concluded that at this point it seems that a cut-off date around 130 days before Congress is likely the best period to confirm the Congress and asks Secretariat and the Host Country to make a concrete proposal for a cut-off date to CPC and Council when proposing the actual Congress dates.

DRAFT COUNCIL DECISION

Council,

On the recommendation of the 2020 Congress Preparatory Committee,

DECIDES that no further postponement of Congress shall be considered beyond the new dates in 2021 to be set in consultation with the Government of France;

REQUESTS that the Secretariat and the Host Country propose a cut-off date at the same time as proposing the actual new Congress dates and report their analysis of situation and risks to the CPC in time for CPC and Council to make a decision prior to said cut-off date.

Feasibility of a virtual Forum and part of the Members' Assembly as a fall-back option

At its last meeting on 1 September 2020, the CPC requested the Secretariat to study whether a virtual Forum could be a fall-back option in case an in-person event proves to be not viable. The study presented by the Secretariat analyses best practice and lessons learnt from other events with comparable experiences (conversion of an in-person to a virtual event) in the last months.

The overarching lesson is that an in-person event cannot be merely transposed to a virtual event but that format, programme and session types need to be adapted. Certain event types are difficult to transpose and session organisers and speakers require specific coaching. Depending on the timing of decision-taking, finding technical providers may prove to be a challenge given the large number of virtual events.

Three scenarios for virtualizing the Forum (including the strategic sessions of the Members' Assembly which can be virtualized in the same way) have been analysed in the study:

- Scenario 1: In-person Forum is fully virtualized (6-day event, 9 months lead time)
- Scenario 2: Forum is replaced by a High-Level virtual conference (sessions organised by IUCN only) (3-day event, 4.5 months lead time)
- Scenario 3: : Forum is replaced by simplified virtual event, blending in events from Call for proposals (5-day event, 6 months lead time)

For all scenarios, it is very difficult to assess the budgetary impact because at this time projections on income are highly speculative. All scenarios have their pros and cons. At this point there is no recommendation by the Secretariat for a scenario other than the recommendation not to pursue option 1, as it appears too complex and costly to implement. For scenario 3, it was noted that a political challenge would have to be resolved in selecting the shortlist of sessions that would be maintained in the virtual format.

The Secretariat noted that virtualising the Congress was not an alternative or an implementation plan to consider at this point, but only a “Plan B” in case the in-person Congress cannot be maintained. It also noted that the current plans for the Congress already include virtual elements such as the fully virtualized speaker pitches and the live-streaming of key sessions (hybrid event) as well as remote participation by speakers.

The Host Country highlighted that at this point in France was not considering the possibility of a virtual event and noted that at this time was not considering virtualization. France will continue to make every effort to make a physical Congress happen. A successful physical Congress, with a diversity of participants and agenda items remains France’s priority and all procurements will continue to be organized based on this objective. However, should an in-person Congress prove not to be viable, France was ready to work with IUCN on a virtual format once that point was reached.

The CPC commended the Secretariat for the study which clearly outlines the scenarios and noted that there was no need for a decision at this time. It also noted that a sequential decision would be required by Council – first a no-go decision regarding the in-person event at the cut-off date, followed by a decision on whether to virtualise the Congress and which scenario. Three members of the Committee noted that scenario 1 was too complex and should not be further considered. The CPC noted that the timeline for deciding the first step and the preparation time needed for a virtual event are not fully aligned (at least not for scenario 3). One Committee member noted that scenario 3 might be difficult to implement as continuously engaging participants from all time zones over 5 days would be a challenge; a 3-day event may be more reasonable.

The Committee did not ask any further work from the Secretariat on the scenarios at this point but all Committee members were invited to send questions and ideas to the CPC which will then be forwarded to the Secretariat. The issue will be discussed again at a future Committee meeting at the beginning of 2021.

Update on discussions with the Host Country regarding Congress

In addition to the timeline provided under agenda item 1, the Host Country informed the Committee that the government will reply to the letter of the Director General and also want to engage in a periodical exchange between the State Secretary Béragère Abba and the IUCN Director General.