UNIÓN INTERNACIONAL PARA LA CONSERVACIÓN DE LA NATURALEZA

94ª Reunión del Consejo de la UICN
29 de abril – 2 de mayo de 2018
Sede Mundial de la UICN, Gland (Suiza)

Actas Resumidas

[Aprobadas por los miembros del Consejo de conformidad con el artículo 52 del Reglamento]

Presentes: véase el Anexo A que se adjunta.

Notas:

a. *Salvo que se indique lo contrario, todas las decisiones del Consejo fueron adoptadas por consenso.*
b. *Para evitar repeticiones innecesarias, las presentes actas resumidas no resumen las presentaciones si su contenido está reflejado en los documentos o las presentaciones en PowerPoint a los que se hace referencia como documentos del Consejo y que están disponibles en el sitio web de la UICN.*
c. *La numeración de las decisiones y los anexos se ajusta a la hoja de decisiones de la 94ª reunión del Consejo, que se publicó como documento separado antes de la aprobación de estas actas resumidas. En consecuencia, las decisiones pueden no seguir el orden numérico en las presentes actas resumidas.*

Martes 1 de mayo de 2018 de las 9:15 a las 14:00 – PRIMERA SESIÓN PLENARIA

Punto 1 del orden del día. Palabras de apertura del Presidente de la UICN y adopción del orden del día *[documentos del Consejo C/94/1 – Proyecto de orden del día de la 94ª reunión del Consejo v6.1 de fecha 30 de abril de 2018 y C/94/1/2 Comentarios recibidos de los Miembros de la UICN sobre el proyecto de orden del día de la 94ª reunión del Consejo]*

El Presidente de la UICN dio la bienvenida a los miembros del Consejo, la Directora General y la Secretaría, los Directores Regionales y el personal, y los Presidentes de las Comisiones de la UICN. Expresó su agradecimiento por la excelente y muy necesaria labor emprendida por los tres Comités Permanentes en los días previos a la reunión del Consejo. La posibilidad de que los Comités puedan reunirse individualmente antes de la sesión plenaria ha aumentado la productividad y eficiencia, al tiempo que ha motivado a los tres pilares de la UICN a trabajar juntos. Continuó elogiando a los Presidentes de las seis Comisiones de la UICN que habían preparado informes exhaustivos para el Consejo, así como a los grupos de tareas cuyo trabajo también había sido arduo. Informó que había sostenido algunas conversaciones constructivas con los Presidentes de las Comisiones con respecto a sus próximas evaluaciones antes del próximo Consejo; reconocen que estas evaluaciones son importantes y que el proceso había sido democrático y transparente.

El Presidente de la UICN continuó expresando su agradecimiento a los miembros del Consejo que habían viajado desde muy lejos y que habían encontrado tiempo de sus apretados programas para asistir a esta reunión. Indicó que cuatro Consejeros se habían excusado:

- Michael Hošek, por razones familiares, quien delegó su representación en Tamar Pataridze
- Shaikha Salem Al Dhaheri, debido a otros compromisos, quien delegó su representación en Ayman Rabi
- Carlos César Durigan, debido a compromisos profesionales, quien delegó su representación en Jenny Gruenberger
- Rustam Sagitov, por razones de salud, quien delegó su representación en Ali Kaka

El Presidente de la UICN informó al Consejo que, como resultado de las discusiones en la cena de la noche anterior, abriría el punto GCC13/3.1 del orden del día (parte del informe del CCG al Consejo) antes del punto 4 del orden del día para que los Consejeros que debían partir temprano pudieran participar en la discusión sobre el próximo Congreso Mundial de la Naturaleza de la UICN. Todas las observaciones y propuestas habían sido incorporadas como se explica en las notas del Secretario. De conformidad con la Política de Transparencia del Consejo, el proyecto de orden del día había sido distribuido a todos los Miembros de la UICN –que no habían presentado propuestas para el orden del día. Luego invitó al Consejo a aprobar el orden del día de la reunión del Consejo.

DECISIÓN DEL CONSEJO C/94/1
El Consejo de la UICN,
adopta el orden del día de su 94a Reunión (versión 6.1 de fecha 30 de abril de 2018). (**Anexo 1**)

Seguidamente, el Presidente de la UICN dio la bienvenida formal al nuevo Tesorero de la UICN, explicando el proceso de nombramiento que se había llevado a cabo. Se había pedido a los Consejeros en la reunión del Consejo de noviembre pasado que enviaran sus recomendaciones al Presidente. Luego se envió una carta recordando a los Consejeros el plazo establecido. Tras largas deliberaciones, el Comité de Búsqueda del Tesorero recomendó un candidato al Consejo, y se exhortó firmemente a los miembros del Consejo a responder al mensaje en el que se les invitaba a aprobar la recomendación. El Sr. Nihal Welikala recibió el respaldo de los Consejeros como nuevo Tesorero de la UICN. El Presidente agradeció tanto al Comité de Búsqueda por su compromiso y profesionalismo, como al Tesorero interino Rick Bates, cuya dedicación se agradecía profundamente. Luego se otorgó la palabra al Tesorero de la UICN, quien señaló que se sentía honrado de haber sido escogido.

El Presidente de la UICN continuó reflexionando acerca de cómo podría la UICN contribuir a un movimiento conservacionista que sigue avanzando en un momento en que los rápidos desarrollos en los frentes tecnológico, social y económico están creando mucha incertidumbre. Necesitamos confiar en nuestra experiencia, y tenemos la responsabilidad de trabajar juntos en armonía y unidad en estos tiempos difíciles. La economía mundial es cambiante e incierta, presenta riesgos pero también oportunidades para el crecimiento y el desarrollo ecológico. 2020 será un momento crucial para la agenda de los ODS 2030 y para el Acuerdo de París sobre el cambio climático. 2030 será también otro momento crucial. Por un lado, el movimiento conservacionista se está fortaleciendo y lidiando con el cambio climático, y muchos países tanto del Norte como del Sur están cumpliendo sus promesas. Por otro lado, aún queda el desafío de los países que se están retirando del acuerdo o que ni siquiera reconocen el problema del cambio climático. La transferencia de tecnología y la creación de capacidad son otros desafíos que deben ser resueltos. Para resumir, hay buenas historias que contar, pero también hay señales alarmantes, y el Consejo debe considerar el panorama completo en sus reflexiones estratégicas. En segundo lugar, Francia está totalmente comprometida con el Congreso Mundial 2020 y en esta reunión tenemos que tomar una decisión. En tercer lugar, estamos en la mitad del mandato de los Consejeros, y es preciso que haya una participación activa en la reunión ya que al mandato actual solo le restan dos años.

Punto 2 del orden del día. Informe del Presidente y asuntos presentados por la Junta Directiva

[documento del Consejo C/94/2, decisión B/74/1 de la Junta Directiva]

El Presidente de la UICN comenzó su informe reiterando que a la Junta Directiva se le ha conferido autoridad para tomar decisiones entre las reuniones del Consejo, pero que es el Consejo el que toma la decisión final, por lo que es un proceso muy democrático. Informó al Consejo que, después de la reunión de la Junta Directiva del 28 de abril de 2018, se presentó una decisión para aprobación por parte del Consejo: el nombramiento de miembros adicionales para el Comité Directivo de la CEC. La decisión B/74/1 de la Junta Directiva había sido enviada a los Consejeros el 29 de abril de 2018 con la explicación de que en caso de que la Junta Directiva se reuniera inmediatamente antes de una reunión del Consejo, era habitual que las decisiones de la Junta Directiva se sometieran al Consejo para su aprobación, en vez de validarlas mediante el procedimiento de no objeción que tomaría entre 2 y 3 semanas.

DECISIÓN DEL CONSEJO C/94/2

El Consejo de la UICN,
respalda la decisión B/74/1 – Nombramientos adicionales de miembros del Comité Directivo de la Comisión de Educación y Comunicación (CEC) de la UICN, adoptada por la Junta Directiva del Consejo de la UICN en su 74ª Reunión del 28 de abril de 2018:

> La Junta Directiva del Consejo de la UICN,
> *por recomendación del* Presidente de la Comisión de Educación y Comunicación (CEC) de la UICN,
> nombra al Sr. Florent Kaiser (Representante de la estrategia sobre Participación de los jóvenes y asociaciones intergeneracionales), al Sr. Firas T. Abd-Alhadi (Vicepresidente Regional de la CEC de la UICN para Asia Occidental) y a la Sra. Karen Keenleyside como miembros adicionales del Comité Directivo de la CEC.

El Presidente de la UICN continuó explicando que el nombramiento del nuevo Tesorero ya había sido aprobado por el Consejo mediante correo electrónico, pero que, para comunicar la decisión y respetar las disposiciones de la Política de Transparencia del Consejo y la legislación suiza, la decisión, cuya redacción había sido preparada por el Secretario, debía consignarse en el acta de la reunión. Esta decisión contiene un párrafo adicional propuesto por la Asesora Jurídica, a saber, inscribir al nuevo Tesorero en el Registro Suizo de Comercio (el equivalente al Registro Mercantil) con autoridad para firmar en nombre de la UICN mediante la firma conjunta. La propuesta de la Asesora Jurídica se basa en la práctica del Consejo de designar al Presidente, Tesorero y Consejero de Suiza como miembros del Consejo con la autoridad del Consejo para que dos de ellos firmen conjuntamente en nombre de la UICN.

DECISIÓN DEL CONSEJO C/94/3

El Consejo de la UICN,
toma nota de la adopción, mediante correo electrónico, de la siguiente decisión:

> El Consejo de la UICN,
> *por recomendación del* Comité de Búsqueda del Tesorero de la UICN establecido mediante la decisión B/73/1 de la Junta Directiva (73ª reunión, noviembre de 2017),
> decide designar al Sr. Nihal Welikala como miembro del Consejo y Tesorero de la UICN, a partir del 23 de abril de 2018, por lo que resta del mandato 2016-20;
> agradece al Sr. Rick Bates, miembro del Consejo, por su diligente labor como Tesorero interino durante el período provisional.

Y, para cumplir con las disposiciones jurídicas y administrativas pertinentes del *Registre du commerce du canton de Vaud*, decide otorgar al Sr. Nihal Welikala, después de su nombramiento, la autoridad para firmar en nombre de la UICN mediante la firma conjunta (firma conjunta de dos).

El Presidente de la UICN recordó que el orden del día y los documentos de las reuniones de la Junta Directiva se envían con antelación a todos los Consejeros, lo que les permite realizar aportaciones. Por razones de tiempo, no informó sobre todos los puntos del orden del día de la 74ª reunión de la Junta Directiva. La Junta Directiva dispone así de más tiempo para estudiar asuntos importantes y presentar recomendaciones atinadas al Consejo, que es el órgano final de toma de decisiones. Los debates en el seno de la Junta Directiva fueron muy constructivos y abordaron temas sobre cómo mejorar no solo el liderazgo sino también el servicio a los Miembros para asegurar que sus voces sean escuchadas y las decisiones del Consejo sean puestas en conocimiento de nuestros constituyentes. Los miembros de la Junta Directiva también tuvieron un debate productivo en torno a las deliberaciones del grupo de trabajo copresidido por Jennifer Mohamed-Katererea y Antonio Benjamin sobre cómo mejorar la gobernanza de la UICN.

Aunque el Presidente de la UICN no informó sobre todos sus viajes, recordó a los Consejeros que incluso en viajes ajenos a la UICN aprovecha la oportunidad para visitar a los Miembros, los Comités Nacionales y Regionales y las oficinas de la Secretaría y hablar sobre la UICN, y exhortó a los Consejeros a hacer lo mismo, reiterando que la UICN puede representar y servir mejor a sus Miembros si conocemos y comprendemos sus necesidades y desafíos. Por ejemplo, durante el Foro Mundial del Agua en Brasil en marzo de 2018, visitó cuatro organizaciones Miembro.

Punto 3 del orden del día. Informe de la Directora General (DG) *[C/94/3 PPT Informe de la Directora General al Consejo]*

La Directora General (DG) comenzó su informe con diapositivas informando al Consejo que en la última reunión del Consejo en noviembre de 2017 había informado sobre el año completo y había presentado sus objetivos para 2018. Les recordó los ocho objetivos prioritarios detallados en su plan de trabajo acerca de los cuales informa al Consejo. *[Véase C/94/3 PPT Informe de la Directora General al Consejo para las diapositivas que no se repiten aquí]*

Luego, la Directora General resumió los cambios que ha implementado en sus esfuerzos por profesionalizar aún más la organización, mencionando que estima que la Unión está en una trayectoria ascendente, y agradeció al Consejo por su apoyo continuo. El portal de programas y proyectos ya está disponible y brinda un panorama más claro de las actividades de la Unión. Ya se han puesto en marcha líneas de base, resultados y estadísticas. Ahora se está avanzando en la evaluación de la colaboración con los Miembros. Ya no se aceptan déficits en materia de oficinas y programas y tampoco pueden ser compensados por el resto de la organización. Si bien anteriormente la UICN tenía la práctica de gestionar sus políticas por excepción, la UICN tiene ahora una clara visión y previsibilidad en términos de utilización. Si bien anteriormente la Unión estaba profundamente fragmentada, con personal que trabajaba en grupos sin una idea clara de cómo encajaban dentro de su comunidad de práctica ampliada, ahora se cuenta con una organización de matriz mediante la cual el personal se reúne en el marco de su plataforma comunitaria para el intercambio y debate de ideas. Del mismo modo, el marco de trabajo anteriormente fragmentado con respecto a los donantes ha sido reemplazado por una visión clara tendiente a una mayor vinculación de la UICN con los donantes. El apoyo a las Comisiones se ha visto fortalecido mediante la creación de una Unidad de Apoyo a las Comisiones.

En vista de la creciente atención internacional al tema del acoso sexual, la Directora General destacó, en particular, un curso de acción para crear conciencia en todos los niveles y erradicar todo acoso sexual en la UICN que pudiera ocurrir en la Unión. Con ello, recordó su compromiso con los defensores de la igualdad entre los géneros; recordó el mensaje que dio a conocer con motivo del Día Internacional de la Mujer; destacó la instrucción administrativa que emitió a todo el personal recordando la cero tolerancia al hostigamiento –sexual o de otro tipo– abuso y represalias (de conformidad con el Código de Conducta de la UICN); informó que el tema había sido discutido por el Equipo directivo; y que antes de fin de año se llevarían a cabo capacitaciones al respecto.

Luego del informe de la Directora General, los miembros del Consejo señalaron los siguientes puntos:

- Numerosos miembros del Consejo expresaron su reconocimiento por el exhaustivo informe de la Directora General, que era tanto optimista como realista, así como por el presupuesto equilibrado, que contribuirá a aumentar la confianza de los Miembros. También se agradeció el avance en los procesos internos por cuanto permiten a la organización emplear prácticas de gestión adaptativa cuando sea necesario.
- Un Consejero solicitó información adicional en lo concerniente a pasar de las acciones a pequeña escala a acciones a gran escala, como se discutió en la reunión del Consejo de noviembre de 2017. Sería útil comprender el plan para el cambio hacia el financiamiento del FMAM y el GCF, y cómo se podría aprovechar esto para asimilar a los Miembros al Programa en lugar de competir con ellos.
- Un miembro del Consejo expresó su reconocimiento por los esfuerzos realizados por la Directora General para renovar la relación entre Senegal y la UICN, tan crucial para el fortalecimiento del programa en África Occidental.
- El Presidente del CFA estuvo de acuerdo con la DG en felicitar a los Directores de las Oficinas Regionales de Asia Occidental, Sr. Fadi Shraidah, y Asia, Sra. Aban Marker Kabraji, por todo el trabajo exitoso realizado para incorporar a los tres nuevos Estados Miembros: Líbano , Egipto y Myanmar.

- A pesar del escepticismo inicial, el Presidente de una Comisión expresó su satisfacción por el apoyo de la Secretaría a las Comisiones, aunque todavía quedan cuestiones por resolver.
- Se expresó preocupación acerca de la falta de conocimiento disponible para los Consejeros sobre los eventos que la Secretaría está apoyando a nivel mundial y en sus respectivas regiones, o sobre los altos funcionarios de la Secretaría que visitan sus regiones. En consecuencia, los Consejeros no pueden prestarles asistencia ni aprovechar esto con los Miembros. La DG se comprometió a abordar este asunto en la Junta Directiva, pero sería conveniente contar con una política formal establecida por el Consejo.
- El Presidente de la UICN confirmó que la solicitud de un calendario de eventos e información sobre los programas de viaje había sido planteada en la Junta Directiva y que la Directora General se encargaría de producir un mecanismo adecuado. Agregó que siempre informa a los miembros del Consejo de la región que visita e intenta reunirse con ellos y, si esto no es posible, organiza una reunión por Skype. También consideró importante que los Consejeros se comuniquen con los Miembros gubernamentales y ONG de su región, y que cuando altos funcionarios visiten una región, se informe a los Consejeros interesados.
- Varios Consejeros hicieron preguntas relativas a las relaciones de la UICN con el sector privado y los jóvenes. La relación con el sector empresarial y privado es importante para la conservación de la naturaleza y también para la UICN, y se solicitó que en el informe de la Directora General se incluyera más información al respecto. En cuanto a la relación con los jóvenes, se convino en la importancia de motivar a los jóvenes a contribuir; debemos reconocer el trabajo realizado en este ámbito y continuar fomentando una mayor participación.
- Varios Consejeros plantearon la cuestión relativa a la mayor participación de los Miembros. Si bien se expresó reconocimiento por el trabajo realizado para aumentar el número de Estados Miembros, también es necesario llegar a los Comités Regionales y otros Miembros. Las Oficinas Regionales de la UICN deberían esforzarse por trabajar más estrechamente con los Miembros. El aumento de la participación en Kenia ha generado entusiasmo por parte del nuevo Parlamento para trabajar con la UICN. Del mismo modo, el contacto establecido con un juez en Tanzania lo motivó a formar parte del Comité Directivo de la CMDA.
- Una Consejera opinó que, si bien debería reconocerse la labor de las mujeres, es mucho lo que aún resta por hacer para reconocerlas. Pidió que todas las mujeres de la sala se pusieran de pie para que los hombres pudieran aplaudir a estas mujeres que defienden la organización. La DG expresó su agradecimiento por este gesto así como por su compromiso. La Consejera continuó haciendo un llamamiento al Consejo para que se impulse aún más la representación de las mujeres en todos los niveles de gobernanza.
- Si bien muchos programas ya están haciendo un gran trabajo, existe una necesidad particular de ampliar el Desafío de Bonn, habida cuenta de los muchos beneficios que aportará. No solo ayudará a reducir la deforestación, sino que alentará a nuestro Gobierno y a los Estados Miembros a cumplir sus compromisos. Un beneficio tangible del Desafío de Bonn es que Ruanda se ha convertido en un Estado Miembro. La tendencia que hemos estado observando hacia una menor participación de los Miembros puede cambiar si la UICN continúa presentando resultados. Los resultados visibles fomentarán la confianza en la UICN.
- Varios miembros del Consejo expresaron su aprecio por el hecho de que la UICN toma en serio el tema del acoso sexual. Un Consejero recordó al Consejo que el acoso sexual puede ocurrir en cualquier parte de la Unión y pidió a los miembros del Consejo que se mantengan atentos a este respecto.
- Un Consejero expresó su reconocimiento por los avances logrados en los procesos internos, tal como se solicitó en el último Congreso. Una buena herramienta de planificación e información estratégica puede aumentar la eficiencia y la eficacia de una organización, aunque es importante mantener la flexibilidad para evitar que se vuelva demasiado burocrática.
- Se planteó la cuestión de si el informe anual de progreso que se discutió en el CPP estará disponible para los Miembros como documento del Consejo. Este es un buen reflejo de los resultados del proceso de cambio y los Miembros deberían tener la oportunidad de revisarlo.
- Varios Consejeros preguntaron sobre el estado del proceso de cambio y sobre la aparente disminución en el número de empleados.
- El informe de la Directora General llamó a pensar en términos de 2024, y un Consejero expresó su interés en disponer de tiempo en futuras reuniones del Consejo para considerar cómo se organizará la UICN para adoptar nuevas tecnologías como la economía digital, las TI y la inteligencia artificial. Un ejercicio de planificación de escenarios con los Consejeros podría ser beneficioso. Otro expresó la opinión de que la UICN no debería ignorar el sector de la alimentación y la agricultura, y de hecho la Unión debería mostrar liderazgo en esta área.

En respuesta a las preguntas y los puntos planteados por los miembros del Consejo, la DG señaló lo siguiente:

- Una de las diapositivas de la DG mostró una tendencia ascendente para pasar de las acciones en pequeña escala a acciones en gran escala. Sin embargo, debe recordarse que las carteras de proyectos generalmente tienen una "cola" de cinco años, ya que muchos de los proyectos en ejecución fueron diseñados y aprobados hace unos cinco años, razón por la cual los cambios en las carteras tardan en arraigar. La ventaja de la Unión radica en realizar intervenciones programáticas más amplias que pueden involucrar a los Miembros. La DG recordó al Consejo que el GCF y el FMAM están dirigidos hacia los Estados, pero consideran que la UICN aporta algo único: el vínculo con los Miembros. La DG hizo hincapié en que la interacción con los Miembros no es solo un tema contractual, sino que es una de las muchas dimensiones que necesita una mejor evaluación.
- La DG agradeció a Mamadou Diallo por su liderazgo en la renovación de un acuerdo internacional vencido con Senegal, extendiendo los derechos y privilegios de la UICN para operar en el país. También encomió al Director

Regional de PACO por la aprobación del Banco Mundial de un proyecto de USD 8 millones para la gestión de zonas costeras en África occidental y central. Tras la firma del nuevo acuerdo de país anfitrión con Senegal, el proyecto tendrá su sede en Dakar.

- La DG se mostró de acuerdo en que se intensifiquen los esfuerzos para informar a los Consejeros sobre el calendario de eventos, a cuyo efecto se establecerá un proceso. Se exhorta también a los Consejeros, incluidos los miembros de las Comisiones, a que informen a la Secretaría de los acontecimientos en sus regiones a efectos de facilitar el apoyo y la participación de la Secretaría, según corresponda.
- La DG se comprometió a incluir más información sobre el sector privado en sus informes. Con respecto a la participación de los jóvenes, coincidió en que hay muchas cosas que se pueden hacer para promover una relación más estrecha con la próxima generación, resaltando que debemos retarnos a nosotros mismos como Secretaría, como Comisiones y como Consejo para promover relaciones más estrechas con los jóvenes.
- La DG agradeció a los Consejeros sus comentarios sobre la participación de los Miembros y explicó que lo que ahora está disponible es una cifra total, pero pronto espera tener cifras desglosadas. El portal ya puede darle seguimiento a los compromisos contractuales y estos se pueden desglosar. A medida que el portal se expanda y se disponga de recursos, se tiene previsto crear un mecanismo para incorporar los compromisos no contractuales en el Portal.
- En respuesta al tema del equilibrio de género, la DG se mostró de acuerdo en que –si bien es un tema muy importante en la UICN– señaló que las oportunidades de cambios en la demografía del personal solo ocurren cuando un funcionario abandona la organización o si se crean nuevos puestos. En vista de que la investigación demuestra que las organizaciones están más en consonancia con la paridad de género, la Secretaría continuará redoblando esfuerzos para aumentar la participación del talento femenino en sus grupos de expertos. La DG instó a las Comisiones y al Consejo a hacer lo propio.
- La DG expresó su agradecimiento por subrayar la importancia del Desafío de Bonn, y cómo esto puede ser un incentivo tanto para atraer Miembros potenciales como para revitalizar a los Miembros actuales. Admitió que la UICN ciertamente no estaría en Ruanda de no haber sido por las actividades del Desafío de Bonn.
- La DG agradeció a quienes destacaron el problema del acoso sexual. Las cosmovisiones sobre esto están cambiando y corresponde a todos nosotros detener las actuaciones inapropiadas; todos debemos hacer lo propio para acabar con esto.
- Se agradeció a los Consejeros por reconocer el trabajo que las Oficinas Regionales hacen con los Miembros. Esta ha sido una de las fortalezas de la UICN desde el principio, y cuanto más hace la UICN en las Regiones, más se comprometen los Miembros. Por lo tanto, agradeció a sus Directores Regionales y Globales por sus esfuerzos para estrechar su relación con los Miembros.
- Con respecto al marco de presentación de informes, la DG señaló que definitivamente se están logrando avances, pero que las mejoras adicionales se implementarán con el Plan de Trabajo Anual 2018 que permite información más rastreable.
- En respuesta a la pregunta sobre agricultura, la DG señaló que Jonathan Davies está trabajando en un documento para delinear el apoyo actual de la UICN para la interfaz entre la agricultura y la conservación. La DG manifestó que la UICN necesita pensar a gran escala. La población de la Tierra está aumentado, y sabemos que las prácticas agrícolas son parte de los factores generadores de pérdida de biodiversidad. Para detenerla, la UICN debe ofrecer soluciones conducentes a medidas agrícolas positivas en materia de biodiversidad.
- La DG señaló que todos los documentos posteriores al Consejo están disponibles en el sitio web de la UICN, incluido el informe anual de progreso.
- En respuesta a la consulta sobre el proceso de cambio, la DG recordó al Consejo que el cambio es constante. Se dio un gran empuje al comienzo del proceso de cambio, pero lo que queda por hacer se hará con menos "ruido". Con respecto a una ligera disminución en el número total de personal, esto obedece mayormente a la función de cierre de proyectos con la consiguiente separación del personal de dichos proyectos. Señaló que el personal de proyectos tiene una correlación directa con el número de proyectos. Recientemente se habían firmado varios proyectos de gran envergadura que darán lugar a un aumento de personal.
- En respuesta a la sugerencia sobre IA (inteligencia artificial) y la cuarta revolución industrial, la DG mencionó que en algún momento se podría organizar una sesión-almuerzo para explorar estos temas y las repercusiones de estos desarrollos en el mundo de la conservación, así como la manera en que la UICN podría involucrarse.

Punto 7.2 del orden del día. Informe del Comité de Constituyentes y Gobernanza (CCG)

Lugar y fecha del Congreso Mundial de la Naturaleza 2020 de la UICN (punto 3.2 del Informe) *[documento del Consejo C/94/7.2 – Informe del CCG al Consejo; véase también el documento del Consejo C/94/GCC13/3.1 y los Apéndices]*

Por invitación de Jennifer Mohamed-Katerere, Presidenta del CCG, Enrique Lahmann, Director Global del Grupo para el Fortalecimiento de la Unión, y Pamela Grasemann, Oficial del Congreso, miembros del equipo de evaluación, presentaron un breve resumen de la propuesta.

La propuesta francesa se componía de 248 páginas, incluyendo cartas de apoyo del Presidente de Francia, el Ministerio de Asuntos Exteriores, diversos niveles de gobierno y la sociedad civil, y Miembros de la UICN, incluido el Comité Nacional. Tras completar todos los elementos de la evaluación formal, se procedió a la evaluación técnica. Veinte elementos diferentes están incluidos en la evaluación, cada uno de los cuales recibió una calificación del equipo. El generoso

compromiso financiero de Francia que asciende a € 23,8 millones, incluye una suma importante de dinero para los delegados patrocinados. La UICN habrá de recaudar fondos por CHF 6 millones, una cantidad similar al último Congreso. Francia aceptó la exención de impuestos para las cuotas de inscripción, no así para los *stands* del Foro.

Con respecto a transporte y hoteles, Marsella está bien provista en ambas áreas. Hay 96 vuelos directos a 25 países. El centro de conferencias está bien ubicado a 20 minutos del centro de la ciudad. Hay dos líneas de metro, una directamente a la sede del Congreso. Hay muchos hoteles repartidos por el lugar, la estación de tren, el viejo puerto y la costa. El centro de convenciones es lo suficientemente grande como para satisfacer todas las necesidades. En vez de un edificio grande, el sitio incluye varios edificios alrededor de un gran espacio abierto. Francia se ha comprometido a mejorar algunos de los edificios anticuados antes del Congreso. En la sede no hay proveedores, por lo que esto será decisión de la UICN. Con respecto a las visas, Francia es un país Schengen lo cual debería facilitar el proceso de visado para muchos delegados; además, tienen un proceso de visa especial con un punto de contacto dedicado para eventos grandes. Se estudió el tema de la sostenibilidad, ya que la UICN recibió una alta certificación de sostenibilidad para el Congreso de Hawai'i y es importante conservarla. Francia tradicionalmente ha mantenido un firme compromiso con la sostenibilidad; tiene una estrategia nacional de biodiversidad y es Parte en el Convenio sobre la Diversidad Biológica (CDB). La evaluación de riesgos realizada contempló cuestiones de salud, la sede misma y proveedores potenciales. También se contactó a otras organizaciones que han utilizado este sitio. Los riesgos potenciales que se pueden observar en un mapa de calor del riesgo es lo relativo a los requisitos de la legislación laboral (proveedores de servicios, potencialmente personal de la UICN), ataques terroristas, cuestiones de visado y huelgas. Para otros eventos similares, Francia ha implementado fuertes medidas para la gestión de estos riesgos.

En su propuesta, el Gobierno de Francia ha sugerido dos fechas posibles, 11-19 de junio y 1-9 de septiembre, aunque su preferencia es para junio por razones políticas, logísticas y de seguridad. Una carta del Ministerio de Medio Ambiente francés recalcó su compromiso con ambas fechas, pero expresó la opinión de que junio sería preferible. La Secretaría preparó un cuadro para la revisión del CCG y el Consejo enumerando las ventajas y desventajas de cada fecha. La principal ventaja a favor del mes de junio es que el Gobierno francés tiene previsto convocar una Cumbre de Jefes de Estado, y esto podría constituir una oportunidad para la asistencia de delegados de alto nivel al Congreso de la UICN. La mayor preocupación en torno a esta fecha es que habría 2,5 meses menos de preparación. Sin embargo, julio y agosto son los principales meses de vacaciones en Francia y esto podría afectar el suministro de servicios. Un gran evento de fútbol en septiembre podría complicar la logística y reducir la visibilidad de la UICN.

En resumen, la propuesta era muy buena, el compromiso de Francia es excelente, las negociaciones del acuerdo de sede han sido exitosas, y la Secretaría se siente cómoda dando el visto bueno al Consejo para proseguir. Se proyectó luego un mensaje de video de Nicolas Hulot, Ministro de Transición Ecológica y Solidaria. El Ministro hizo hincapié en la estrecha colaboración de Francia con la UICN, recordándonos que la UICN fue fundada en 1948 en Fontainebleau, Francia. A lo largo de los años, Francia ha suscrito cuatro acuerdos marco con la UICN y ha contribuido con € 8,8 millones. Reiteró que Francia busca tener un impacto positivo en la biodiversidad, y que el país trabaja diligentemente para situar la biodiversidad en la escena mundial. Para lograrlo, se prevén dos eventos importantes para 2019: (1) Francia será sede de la 7ª reunión de la IPBES en mayo; y (2) Francia asumirá la presidencia del G7, lo que brinda la oportunidad de resaltar la importancia de la biodiversidad. Un Congreso de la UICN en junio de 2020 también permitiría influir en un resultado exitoso de la COP15 del CDB.

La Presidenta del CCG, Jennifer Mohamed-Katerere, continuó señalando que la evaluación de la propuesta para el Congreso no fue una tarea fácil. El CCG comprende las aspiraciones políticas de Francia; tanto al acoger a la IPBES como al asumir la presidencia del G7 en 2019 hacen que la posibilidad de celebrar el Congreso de la UICN en 2020 sea una gran oportunidad para ellos. Aunque junio es su fecha preferida, Francia ha prometido hacer todo lo posible para que el Congreso sea un éxito en caso de que la fecha sea en septiembre. La Presidenta resumió algunos de los temas considerados por el CCG. Comenzaron investigando cómo se clasifica esta propuesta en comparación con las propuestas anteriores, y encontraron que la clasificación se compara favorablemente con Hawai'i, a pesar de los nuevos criterios que se han agregado. Estudiaron los compromisos financieros asumidos por ambas partes; consideraron la cuestión de los conflictos con otros eventos importantes (la COP de la UNFCCC, la COP del CDB y la CMS); analizaron la seguridad y los riesgos, y consideraron satisfactorio el compromiso de Francia para tomar las medidas necesarias para garantizar la seguridad del Congreso. El Comité también analizó la logística con respecto al alojamiento y las visas, especialmente de África.

El CCG resaltó que a pesar del afán de Francia, la primera responsabilidad de la UICN es con sus Miembros. El CCG, por mayoría, expresó preocupación acerca de junio como posible fecha, debido a que el Consejo se reúne solo dos veces al año; esto hará que sea difícil completar el trabajo que el CCG ha emprendido en nombre del Consejo, como por ejemplo, la reforma del proceso de mociones, la Estrategia de Membresía, el proceso relacionado con las cuotas de los Miembros y las reformas de gobernanza. Por otra parte, la celebración del Congreso en junio acortaría en tres meses el mandato de los Consejeros. Inicialmente, la Presidenta quiso devolver la decisión al plenario, pero luego de reflexionar, pidió a cada miembro que expresara su opinión: seis miembros del CCG aceptaron a Francia como país anfitrión con la fecha preferida en septiembre, tres miembros aceptaron a Francia como el país anfitrión con una fecha en junio, y un miembro se abstuvo. El CCG recomendó al Consejo que acepte la propuesta de Francia para ser sede del Congreso en septiembre.

El Presidente, secundado por muchos miembros del Consejo, agradeció a los miembros del CCG por su tiempo y esfuerzos, así como a Enrique Lahmann y a los miembros del equipo de evaluación técnica y, por último, pero no por ello menos importante, agradeció la generosa propuesta del Gobierno francés.

Durante el debate posterior, se hicieron los siguientes comentarios:

- Encontrar un anfitrión generoso no siempre es fácil. El CDB desea replicar el éxito del Acuerdo de París. Es preciso fomentar el interés y redactar un tratado serio, habida cuenta de que el CDB es solo un acuerdo marco que no obliga a los países a informar sobre las medidas que toman. El CDB desea aprovechar la presidencia de China en la COP 2020 para formular un Acuerdo de Beijing que reemplazará las Metas de Aichi y la estrategia del CDB que finalizará en 2020. Junio es el único momento en el que la UICN puede desempeñar un papel importante y ser relevante para el próximo Acuerdo de Beijing. La UICN necesita tiempo para que los resultados de su Congreso estén disponibles para que puedan filtrarse a la COP del CDB. En términos de marca y posicionamiento para el Congreso, tener a la UICN en el podio en una Cumbre de Jefes de Estado así como la presencia de Jefes de Estado en el Congreso sería una gran ventaja. Francia está tomando el liderazgo frente a una abrogación general del compromiso de los Estados con la conservación. La UICN debería apoyar a Francia en los términos que establece y convocar al Congreso para junio. Ignorar la recomendación del anfitrión podría implicar un riesgo para la reputación de la UICN. Una buena relación con Francia como uno de los principales donantes de la UICN en el momento de la renovación de la mayoría de los acuerdos marco tendría un efecto positivo en otros donantes con acuerdo marco.
- Con referencia a la declaración China-EE. UU. que tuvo un gran impacto en las negociaciones sobre el cambio climático en París, una declaración conjunta China-Francia con alto impacto en el CDB, para la cual el Congreso de la UICN podría ser una plataforma, debería emitirse en septiembre, tan cerca como sea posible a la COP del CDB. Septiembre es también el momento ideal para un gran impacto en las redes sociales. La fecha de junio dejaría menos tiempo para la recaudación de fondos para cubrir el déficit de CHF 6 millones. Los comités permanentes y las Comisiones no tendrían tiempo suficiente para cumplir todos sus compromisos si el Congreso se celebrara en junio. Sin embargo, el CPP consideró que su trabajo era factible bajo ambas opciones, y el Presidente de una Comisión explicó que las Comisiones podrían y estarían dispuestas a ajustar sus planes de trabajo para adecuarse a la fecha del Congreso. La UICN ha celebrado congresos y asambleas generales entre junio (incluso febrero) y noviembre sin impacto aparente en el trabajo del Consejo.
- Se señaló que el Consejo no participó en el proceso de evaluación en una etapa temprana y, por lo tanto, se informó a la Secretaría que para futuros Congresos, un miembro del Consejo (en nombre del Consejo) debería participar en el proceso de evaluación desde una etapa temprana.
- Los Estatutos no son claros acerca de la fecha del Congreso (artículo 24: "cada cuatro años") o el mandato de los Consejeros (artículo 41: desde la clausura de un Congreso hasta la clausura del siguiente). El Grupo de trabajo de la Junta Directiva que identifica ámbitos susceptibles de mejoras en lo relativo a la gobernanza de la UICN podría solicitar que se incluya el artículo 41 para su revisión a fin de que en el futuro se establezca, por ejemplo, una ventana de 6 meses para la celebración del Congreso y, si la ventana reduce el mandato del Consejo, la toma de posesión del cargo no debería ser inmediata.
- En respuesta a la pregunta de cómo cubrir el déficit de CHF 6 millones, la Directora General informó al Consejo que siempre ha habido un déficit en el presupuesto del Congreso que requiere un esfuerzo de recaudación de fondos y que lo que se espera para 2020 es razonable y factible. Enrique Lahmann explicó que, a pesar de las brechas iniciales entre el presupuesto y las contribuciones del país anfitrión, los últimos tres Congresos produjeron un superávit: CHF 2,2 millones en Barcelona, CHF 1 millón en Jeju y CHF 1,6 millones en Hawai'i. Continuó haciendo hincapié en que en cada uno de estos casos, la sugerencia del país anfitrión fue aceptada, como por ejemplo, Barcelona insistió en octubre en lugar de septiembre debido al período de vacaciones; Jeju recomendó septiembre en lugar de octubre. Se comprometió a no tener déficit (pero tampoco necesariamente un superávit) para el Congreso de 2020. Recordó al Consejo que la clave para lograr este objetivo es una relación armoniosa con el país anfitrión.

Como parte de la discusión sobre el proceso de decisión durante la primera sesión plenaria, que se continuó durante la segunda y cuarta sesiones plenarias, se consideraron las siguientes opciones:

- El Consejo acepta la propuesta de Francia para convocar el Congreso en Marsella en 2020 en una fecha que habrá de determinarse, de la misma manera que el CDB decidió celebrar la COP15 en 2020 en Pekín con la fecha definitiva aún por establecer;
- El Consejo intenta decidir por consenso también acerca de la fecha del Congreso de 2020. Si esto no fuera posible, el Presidente lo someterá a votación.

A propuesta del Presidente de la UICN, el Consejo decidió por consenso aceptar el ofrecimiento del Gobierno de Francia para ser sede del Congreso Mundial 2020 en Marsella en junio de 2020.

DECISIÓN DEL CONSEJO C/94/21
El Consejo de la UICN,
reconociendo que se ha llevado a cabo un proceso exhaustivo de selección y teniendo en cuenta la propuesta, el informe de evaluación, el borrador del Acuerdo de Sede, las recomendaciones del país candidato y todos los demás hechos pertinentes,
decide aceptar el ofrecimiento del Gobierno de Francia para acoger el Congreso 2020 de la UICN en Marsella entre el 11 y el 19 de junio de 2020.

En vista de que el Congreso rara vez se reúne antes de agosto y que, normalmente, el plazo entre dos Congresos es de cuatro años, el Presidente también propuso que este mandato del Consejo termine oficialmente en septiembre de 2020, permitiendo un período de transición en el que el Consejo actual trabajaría junto con el Consejo recién elegido, dejando que sean la Asesora Jurídica y los Consejeros con experiencia en Congresos y los Consejeros con experiencia legal, quienes decidan cómo manejarlo.

Finalmente, el Presidente reiteró que en asuntos importantes como el Congreso, el Consejo y el Presidente deberían involucrarse mucho antes en el proceso.

Martes 1 de mayo de 2018 de las 15:30 a las 19:20 – SEGUNDA SESIÓN PLENARIA

Punto 4 del orden del día. Sesión anual del Consejo para examinar la actuación de las Comisiones *[documento del Consejo C/94/PPC43/1 rev2 Informe Anual 2017 de la UICN y las presentaciones en PowerPoint de los Presidentes mencionadas más adelante]*

El Presidente de la UICN recordó a los Consejeros que el Reglamento de la UICN estipula que, entre los períodos de sesiones del Congreso, las Comisiones deben informar anualmente al Consejo sobre los productos, resultados, impacto y recursos en relación con el plan de trabajo de la Comisión aprobado por el Consejo al comienzo de cada mandato. Como parte de las "Buenas prácticas y reformas mejoradas sobre la gobernanza de la UICN" aprobadas por el Consejo en abril de 2016, el Consejo también decidió realizar una vez al año una sesión del Consejo, con la Directora General, para analizar la actuación de las Comisiones. Hoy, será la primera vez que realizamos una sesión de este tipo en el Consejo. En noviembre pasado, las Comisiones presentaron un informe de progreso escrito sobre los resultados de 2017 como parte del proceso de planificación para 2018. Además, información de alto nivel sobre la actuación de las Comisiones ha sido integrada en el Informe Anual 2017 de la UICN que había sido revisado por el CPP el día anterior.

El Presidente cedió la palabra a cada Presidente de Comisión en el orden alfabético de los nombres de sus Comisiones, con una excepción: el Presidente de la CMDA que se veía obligado a abandonar poco después.

4.1 Presentación de los Presidentes de las seis Comisiones de la UICN sobre las actividades de sus Comisiones

El Presidente de la Comisión Mundial de Derecho Ambiental (CMDA), Antonio Benjamin, *[Véase también la presentación en PowerPoint del Presidente disponible como C/94/4.1/1 PPT Informe de la CMDA al Consejo]* comenzó con una breve descripción de la composición de la membresía y la estructura. La Comisión cuenta con casi 900 miembros, con muchos más que aún deben ser agregados al portal, ya que la membresía de la CMDA suele ser de alrededor de 1500. Le complacía informar que hay más mujeres que hombres. La cantidad de Grupos especialistas (GE) ha sido limitada a 10, siendo varios de ellos en conjunto con otras Comisiones. Un desafío que ha surgido en los GE es que los Presidentes a menudo permanecen por largos períodos, y se tomó la decisión de cambiar los estatutos de la Comisión para limitar su mandato al de los Presidentes de las Comisiones. Las finanzas de la Comisión son muy saludables, ya que todo se hace en asociaciones y aproximadamente el 80% se recupera de los socios. Las contribuciones en especie de los miembros se estiman en USD 1,25 millones.

Todo el trabajo realizado por la Comisión puede vincularse con las tres áreas programáticas, aunque la mayor parte del trabajo se realiza en el Área 2 (gobernanza eficaz y equitativa). El principal logro de la CMDA fue el 8º Foro Mundial del Agua (19-21 de marzo de 2018), al que asistieron jueces de tribunales de justicia de más de 60 países. El resultado de este Foro fue Brasilia Declaración de Jueces sobre Justicia Hídrica, un excelente marco jurídico. En este foro también se organizó el 1er. Tribunal mundial simulado de justicia hídrica de la CMDA, con siete jueces de todos los continentes, consiguiendo un apoyo financiero de USD 450.000 para el foro. Brasilia Declaración de Jueces sobre Justicia Hídrica tiene varios principios importantes, pero el más innovador es el principio *Indubio pro aqua*, que se puede considerar un logro importante. A continuación, el Presidente agradeció a la Asesora Jurídica de la UICN, a la Directora General y a todos aquellos que han ayudado a establecer el Instituto Judicial Mundial para el Medio Ambiente.

La iniciativa del Presidente prometida en Honolulu, el Instituto Judicial Mundial para el Medio Ambiente, fue presentada en el 8° Foro Mundial del Agua por el Fiscal General de Brasil. También en el Foro Mundial del Agua en Brasilia, la CMDA organizó tres eventos dedicados al Pacto Mundial para el Medio Ambiente, y a Francia le complace que la UICN haya ofrecido actuar como plataforma para este diálogo. La iniciativa más reciente de la CMDA es la Ley del Bosque Modelo, y con UN FFF se firmó un MdeE, que reúne a responsables de las políticas forestales y académicos del derecho.

Para el futuro, la CMDA está empezando a reflexionar sobre cómo alinear las prioridades de la UICN y los ODS con el tema del 2º Congreso Mundial de Derecho Ambiental de la UICN, que se celebrará en la primera mitad de 2020. En asociación con la Universidad Católica de Brasilia, la Comisión acaba de lanzar la Biblioteca de vídeos sobre el derecho ambiental de la CMDA. Hasta la fecha, se han grabado 19 conferencias; a manera de demostración, se mostró el comienzo de un vídeo con Michel Prieur, un reconocido especialista francés en el campo del derecho ambiental.

El Presidente de la Comisión de Educación y Comunicación (CEC), Sean Southey, *[Véase también la presentación en PowerPoint del Presidente disponible como C/94/4.1/2PPT Informe de la CEC al Consejo]* comenzó agradeciendo a su Presidenta Adjunta Katalin Czippán y a Ricardo Tejada, Director de Comunicaciones Globales. También agradeció al Consejo por la designación de tres nuevos miembros del Comité Directivo de la CEC, que ahora cuenta con 18 miembros y les informó que la CEC invitó formalmente a Karen Keenleyside de Parks Canada a formar parte del comité. Esto es importante dado que ella es copresidenta de #NatureForAll basada en la CMAP, y la colaboración con la CMAP es muy estrecha.

La membresía está aumentando y se está haciendo un esfuerzo consciente con la ayuda de los vicepresidentes regionales para aumentar la membresía en las regiones con pocos miembros. Más de 40 jóvenes solicitaron participación en la CEC, y el Presidente los invitó a desempeñar un papel especial dentro de la Comisión. El Presidente aprueba personalmente a los miembros en Facebook. Las finanzas de la Comisión son buenas y el año se cerró por debajo del presupuesto. Esto se debió principalmente al hecho de que en 2017 no hubo reuniones del Comité Directivo, aunque habrá dos en 2018 –una antes de esta reunión del Consejo y otra en Egipto con motivo de la COP del CDB en noviembre. Una evaluación del tiempo invertido por los miembros de la CEC en labores de la Comisión reveló una estimación conservadora de alrededor de CHF 1,78 millones en 2017.

Proveniente de la reunión del Comité Directivo celebrada antes del Consejo, la misión y el mandato de la CEC incluyen #NatureForAll, participación de los jóvenes y CommunicationConnects, un proyecto que se centra en productos del conocimiento y capacidad para generar nuevas ideas en el ámbito de la educación y la comunicación. Los miembros de la CEC trabajarán con las otras Comisiones y las regiones para entender mejor sus necesidades concretas en este ámbito. Todo lo que hace la CEC se basa en la participación y activación de los Miembros.

La principal iniciativa de la CEC es #NatureForAll, una estrecha colaboración entre la CEC y la CMAP. Hay 254 organizaciones miembro que han firmado, y un 24% son Miembros de la UICN. Esto se puede considerar una oportunidad para atraer nuevos Miembros a la UICN. Ahora hay tres redes nacionales en el Reino Unido, Canadá y los Países Bajos. Aunque hasta la fecha no ha habido un impulso explícito para los miembros, ahora habrá un enfoque en acciones más estratégicas para llenar los vacíos en la membresía. El Presidente de la CEC agradeció a Parks Canada por la contribución de dos miembros de tiempo completo a la iniciativa, que ha sido renovado hasta el próximo Congreso. La Comisión ha producido gran cantidad de materiales, todos en línea, que explican #NatureForAll, y se alentó a los Consejeros a contactarlos si surge alguna otra necesidad.

El Presidente de la CEC continuó señalando algunos otros aspectos destacados del trabajo de la CEC. La Comisión apoyó al PNUMA en 2017 para el Día Mundial del Medio Ambiente. El tema elegido fue conectar a las personas con la naturaleza, hablando sobre el poder de la Unión, dado que este ha sido un tema destacado en los recientes Congresos de la UICN. La CEC continúa su serie de cómics para múltiples temas y en varios idiomas, en asociación con UNICEF como parte de una iniciativa titulada *La lección más grande del mundo*. El último es sobre plásticos y saldrá en el Día Mundial del Medio Ambiente 2018, aprovechando nuestras relaciones para la difusión de material en todo el mundo.

La celebración del 70º aniversario de la UICN es quizás la actividad más importante de la CEC este año, y el Presidente destacó que es responsabilidad de todos usar el logo del 70º aniversario y aprovechar esta oportunidad al máximo. En respuesta al reto planteado por la Directora General, otra actividad de la Comisión ha sido estudiar si el impacto de #NatureForAll es real. Entendemos el concepto, pero ¿funciona metodológicamente? Los datos duros y blandos se han estudiado rigurosamente y se presentará un estudio de síntesis en la reunión del SBSSTA de julio, que presentará pruebas en punto a que las experiencias de la naturaleza pueden tener un impacto a largo plazo en el comportamiento. PODEMOS crear una cultura de conservación. La CEC también tiene muchas actividades regionales, incluidos algunos eventos de #NatureForAll, una asociación con WAZA y una estrategia alpina. El Presidente concluyó su informe con la parte 2 del video lanzado en Hawai'i, que ha recibido tres premios.

La Presidenta Adjunta de la Comisión de Política Ambiental, Económica y Social (CPAES), Ameyali Ramos Castillo, *[Véase también la presentación en PowerPoint de la Presidenta, disponible como C/94/4.1/3 PPT, Informe de la CPAES al Consejo]* tomó la palabra, a petición de la Presidenta de la CPAES, Kristen Walker Painemilla, quien necesitaba salir. La Presidenta Adjunta comenzó recordando a los Consejeros la misión de la CPAES y luego describió su estructura. La CPAES tiene un Comité Directivo, que anuncia ampliamente puestos vacantes; esto ha permitido a la Comisión atraer personas que no han estado involucradas previamente con la UICN. Hubo un enfoque particular sobre el género, la juventud y los pueblos indígenas, y les complace informar que en el Comité Directivo hay representación de todos estos grupos. Han estado reflexionando sobre la mejor manera de comunicarse, y han estado usando Facebook y Twitter, y recientemente también WhatsApp. Algunos miembros de la CPAES se han puesto en contacto con la Secretaría y los Miembros de la UICN, y la Presidenta Adjunta exhorta a todos los miembros del Comité Directivo a hacer lo mismo.

La CPAES ha identificado temas y ha constituido GE, y participa activamente en el enfoque de Un solo Programa, trabajando con muchas partes de la Secretaría y otras Comisiones. Dos de sus productos del conocimiento son PiN y el Marco para la gobernanza de los recursos naturales (NRGF) y han estado decididamente involucrados con estos, principalmente en África a través de SUSTAIN, donde estaban analizando el flujo de beneficios y lo que hace para los

medios de subsistencia y el bienestar en Tanzania. En cuanto al NRGF, la Comisión ha estado trabajando estrechamente con la Secretaría para asegurar la financiación de la fase dos.

La Presidenta Adjunta continuó haciendo hincapié en que una de las prioridades de la CPAES es promover una política sobre cultura en la UICN. En un esfuerzo por llevar el diálogo de alto nivel al nivel concreto, la Presidenta Adjunta describió un proyecto que trabaja con mujeres y lana, llamado el "proyecto de un metro cuadrado" en el que las mujeres trabajan juntas para enseñar a otras sus artesanías en un esfuerzo por promover sus medios de subsistencia. Uno de los frutos de este proyecto, una colcha de 9x9 metros, será exhibida en el Congreso de 2020, un recordatorio visual de cómo la cultura se cruza con la naturaleza y genera medios de subsistencia y bienestar.

La Comisión también participa activamente en la afirmación del papel de las culturas indígenas en los esfuerzos mundiales de conservación de conformidad con la Resolución 75. Ayudaron a facilitar la primera reunión de Miembros de Organizaciones de Pueblos Indígenas (OPI) en marzo, en un esfuerzo por aumentar la participación e interacción entre OPI y desarrollar una estrategia para OPI en la Unión. La Comisión también está analizando y priorizando las Resoluciones. En el futuro, la CPAES ocupará un lugar destacado en la Conferencia de Halifax (28-30 de mayo) sobre Comunidades, conservación y medios de vida, así como en las celebraciones del 70° aniversario. La Comisión producirá además una revista revisada por pares con la Society for Biological Diversity.

En cuanto a los desafíos, el principal es la brecha de financiamiento para los productos del conocimiento. Aunque el problema de financiación para el NRGF se ha resuelto, la CPAES todavía está buscando financiación para PiN. La Presidenta Adjunta informó además sobre algunos desafíos con la Unidad de Apoyo a las Comisiones, así como con los cambios de personal en el ámbito de las ciencias sociales y la gobernanza, aunque estos también brindaron oportunidades. En lo que respecta a las finanzas, la Comisión continúa sus esfuerzos para el apalancamiento de fondos de contrapartida con los fondos operacionales de la Comisión, y la Presidenta a menudo proporciona capital inicial a los proyectos, apalancando así otros recursos de financiación. Las contribuciones en especie de los miembros de la CPAES se estiman en CHF 10 millones en el período 2016-2018.

Angela Andrade, Presidenta de la Comisión de Gestión de Ecosistemas, *[Véase también la presentación en PowerPoint de la Presidenta disponible como C/94/4.1/4 PPT Informe de la CGE al Consejo]* comenzó su presentación con una declaración simple de la misión de la CGE: gestionar los ecosistemas para preservar la biodiversidad. El trabajo comenzó hace varios años con un estudio para identificar las prioridades de los miembros, revelando las cinco siguientes: riesgos de los ecosistemas, soluciones basadas en la naturaleza, resiliencia, gobernanza de los ecosistemas y valores culturales en la gestión de los ecosistemas. La estrategia de la CGE se basó en estos, y tanto los grupos temáticos, como los GE y los grupos de tareas se estructuraron en torno a ellos. A estos temas más tradicionales, la Comisión ha agregado recientemente ecosistemas urbanos, agroecosistemas y ecosistemas boscosos, así como algunas dimensiones nuevas como biología sintética, nuevos contaminantes, y salud humana y gestión de los ecosistemas. Todas las prioridades de la CGE guardan relación directa o indirecta con los ODS.

El Comité Directivo de la CGE consta de solo siete miembros, cada uno representando una región; manteniéndolo pequeño hay más flexibilidad. Hubo tres reuniones del Comité Directivo: una estratégica en Florida poco después del Congreso 2016, una en 2017 en Cartagena que se llevó a cabo conjuntamente con la CSE con el fin de establecer una agenda común de trabajo; y una este año en Nepal. Hasta la fecha, la Comisión ha reconstruido la membresía a cerca de lo que era antes. Aunque el 64% son hombres, la Comisión promueve activamente la participación de las mujeres, con la finalidad de alcanzar el equilibrio de género. Además, se creó una red de jóvenes profesionales.

La Lista Roja de Ecosistemas (LRE), uno de los proyectos más importantes de la CGE, continúa trabajando en la evaluación de los riesgos de los ecosistemas. El año pasado se llevaron a cabo tres evaluaciones regionales y se lograron avances en evaluaciones más específicas con el objetivo final de proporcionar a los responsables de la formulación de políticas información sobre restauración o conservación, como es el caso en Colombia. El desafío consiste en organizar la información no solo para que los responsables de las políticas puedan utilizarla, sino también para que los análisis de los ecosistemas se puedan llevar a cabo, incorporando las dimensiones tanto técnicas como humanas. La LRE tiene su propia página web y ya suma 93.000 visitas de 198 países. En 2017, se lanzaron ocho publicaciones científicas. Sus páginas de Facebook y Twitter tienen más de 21.000 seguidores, mostrando el interés generado por este producto. También se ha llevado a cabo una amplia y exitosa capacitación sobre la LRE en las regiones.

La Presidenta de la CGE continuó su informe destacando algunas de las muchas actividades llevadas a cabo por la Comisión. En el campo de las SbN, se ha avanzado en el trabajo metodológico y conceptual requerido para diseñar estándares; este es el principal desafío de la CGE y el producto que se ha comprometido a llevar al Congreso Mundial 2020. El trabajo en el ámbito de la adaptación y mitigación de los ecosistemas se centró en talleres; el trabajo sobre los ecosistemas y la reducción del riesgo de desastres (RRD) se impulsó a través de un MOOC (cursos en línea masivos y abiertos) sobre resiliencia que fue seguido por 4.000 participantes. Este año, la CGE contribuirá a una revisión de la adaptación basada en ecosistemas (EbA) y directrices sobre RRD, y tiene previsto asistir al 10º aniversario que conmemorará la fecha en que el CDB comenzó esta iniciativa. Una conferencia sobre restauración de los ecosistemas celebrada en Iguazú exploró los diferentes indicadores necesarios para incluir la biodiversidad en todas las iniciativas de restauración que se implementan en el marco de proyectos más grandes.

La Comisión ha estimado que las contribuciones en especie recibidas por la Comisión ascienden a aproximadamente CHF 8 millones; si bien la mayoría de los fondos se utiliza para reuniones, también aportan capital inicial. Las comunicaciones son importantes para la CGE, como lo demuestran los numerosos boletines producidos por la Comisión y sus grupos de tareas, y los muchos miembros de la CGE que tienen páginas de Facebook (algunas con más de 2.000 seguidores). La Comisión enfrenta muchos desafíos, especialmente en lo que respecta a tratar de comprender a los Miembros, las regiones y el trabajo que se está realizando. Su deseo es hacer de esta Comisión el punto focal para todos los interesados en aprender más sobre la gestión de los ecosistemas y sus soluciones.

Jon Paul Rodriguez, Presidente de la Comisión de Supervivencia de Especies (CSE), *[Véase también la presentación en PowerPoint del Presidente disponible como C/94/4.1/5 PPT Informe de la CSE al Consejo]* informó que la Comisión cuenta actualmente con más de 6.000 miembros, 147 GE sobre flora y fauna, distribuidos en 166 países. La oficina de la CSE está compuesta por 13 personas en cuatro países. En conjunto, ¡estas son las personas que hacen el trabajo! La mayor parte del presupuesto operativo para la CSE proviene del Fondo Operativo de la Comisión. En cuanto a las finanzas de la CSE, el año pasado cerró con déficit, pero se espera recuperarlo. Treinta y tres organizaciones aportan anualmente fondos a la CSE, con Global Wildlife Conservation (GWC) sirviendo como patrocinador fiscal de la CSE. El año pasado, los ingresos alcanzaron más de USD 1 millón y CHF 300.000 fueron asignados a GSP. Se estima que anualmente se reciben alrededor de USD 45 millones como contribuciones en especie.

En 2016, un estudiante del Imperial College London realizó un estudio sobre "Teoría del cambio" para determinar si la CSE está logrando el impacto deseado. El estudio reveló que para responder la pregunta era preciso mejorar la capacidad de monitoreo y evaluación. Para responder a este desafío, en 2017 la CSE recopiló información de diferentes grupos temáticos con el objeto de utilizar esta información para planificación, monitoreo y evaluación. Conocido como SSC DATA, la información incluye objetivos para el cuatrienio y actividades y resultados anuales, entre otras cosas. Esta información está disponible tanto para los miembros de la CSE como para las otras Comisiones.

El trabajo de la CSE está ligado predominantemente al Resultado Global 1, más específicamente con el 72% de los resultados clave para las especies. La Comisión colabora estrechamente con el Programa Mundial de Especies y muchos de los resultados deben acreditarse a los esfuerzos conjuntos de ambos. El área programática 1 consta de tres subresultados: conocimiento, aplicación de las leyes y aplicación de medidas de conservación. Una gran parte del *conocimiento* generado por la CSE proviene de la Lista Roja, lo que hace que el Comité de la Lista Roja sea una de las unidades más importantes en la CSE, encargada de la gestión del consorcio. Jonathan Hutton fue designado Presidente del Comité de la Lista Roja, y se nombró un nuevo Oficial de Programa para atender la prioridad de la CSE en cuanto a trabajar a escala nacional y apoyar a los gobiernos regionales en el uso de las herramientas y las soluciones basadas en el conocimiento de la UICN. El SSC DATA demuestra la importancia del conocimiento y da una idea de las numerosas actividades de la CSE: talleres, boletines, publicaciones, sitios web y evaluaciones de la Lista Roja.

El trabajo de la CSE en lo tocante a la *aplicación de las leyes y las políticas* es manifiestamente evidente en las iniciativas desarrolladas en alianza con los gobiernos y las directrices desarrolladas para influir en las políticas. El asesoramiento brindado a la CITES sobre el uso sostenible de las serpientes o el informe de la UICN sobre los pangolines que utilizaron las Partes de la CITES confirman la influencia positiva de la CSE. La *aplicación de medidas de conservación* puede verse a través de los esfuerzos de la CSE para financiar proyectos de conservación con National Geographic. Hasta abril de 2018, se habían recibido 163 propuestas y se habían aceptado 30 proyectos en la primera ronda por un total de USD 900.000; si este impulso continúa hasta 2019, el importe de la ayuda financiera aumentará a USD 5 millones. Las nuevas Directrices de la CSE/UICN para la planificación de la conservación de especies son otro ejemplo de cómo la CSE cumple el tercer subresultado: aplicación de medidas de conservación.

El Presidente concluyó su informe haciendo hincapié en el pilar del accionar de la CSE y la UICN. Salvar especies no se trata solo de recopilar datos y evaluar especies; los datos generados en La Lista Roja deben ser utilizados. La experiencia de la CSE se basa en la evaluación del riesgo de extinción de las especies, pero de lo que realmente trata el trabajo es de evaluar datos, planificar con anticipación y luego actuar. Una vez que se recopilan los datos, se desarrollan planes de acción para diferentes especies, y si se agrega financiamiento, por ejemplo, como en la iniciativa de National Geographic, es posible actuar sobre estos planes y en ese momento evaluar el impacto.

La Presidenta de la Comisión Mundial de Áreas Protegidas (CMAP), Kathy McKinnon, *[Véase también la presentación en PowerPoint de la Presidenta disponible como C/94/4.1/6 PPT Informe de la CMAP al Consejo]* presentó al Consejo algunas estadísticas: son más de 2500 los miembros de la CMAP, 10% son profesionales jóvenes, incluidos dos Vicepresidentes del Comité Directivo, y 34% son mujeres. Un tercio de los miembros del Comité Directivo son mujeres. La membersía de la CMAP en las regiones está regresando después del Congreso, pero todavía hay algunas regiones que tienen pocos miembros y la Presidenta hizo un llamamiento a los Consejeros Regionales para ayudar en este campo.

Los objetivos de la CMAP aprobados en el Congreso Mundial de 2016 se centran en las Metas de Aichi y especialmente en la Meta 11. El Programa de trabajo sobre áreas protegidas del CDB surgió del Congreso Mundial de Parques de Durban y luego evolucionó hacia la Meta 11 del Plan Estratégico para la Biodiversidad, por lo que es una prioridad estratégica para la CMAP. La Comisión también está interesada en promover las áreas protegidas como soluciones naturales y una mayor

inversión en sistemas de áreas protegidas en línea con los ODS. En esencia, el objetivo es promover una mejor gestión y gobernanza de las áreas protegidas a escala mundial. También hay un programa de trabajo en conjunto con el Programa Mundial de Áreas Protegidas para cumplir con la Promesa de Sídney, con más de 20 indicadores para tres objetivos globales.

Seguidamente, la Presidenta se centró en algunos aspectos destacados de las áreas de especial interés para la CMAP: redes de áreas protegidas y áreas conservadas, medio marino, ACB, otras medidas eficaces de conservación basadas en áreas (OECM), gestión efectiva y buena gobernanza, y una mejor conectividad –todos los aspectos de la Meta 11. Se están haciendo grandes progresos en el ámbito del medio marino, con una mayor presencia en la esfera mundial. En el Congreso Mundial de Parques 2014 y el Congreso Mundial de la Naturaleza 2016, se hizo un llamado para que el 30% de los océanos del mundo sean declarados como áreas marinas protegidas (AMP); se han realizado avances y actualmente se protege el 16% de las aguas territoriales. IMPAC 4 en Chile en 2017 fue un éxito y se lanzó una nueva Guía de buenas prácticas titulada *AMP a gran escala*. Si bien es importante y muy alentador el aumento en el número de AMP, es preciso que estén bien administradas, a cuyo efecto se está elaborando un documento sobre la aplicación de una normativa mundial para las AMP, además de muchas otras publicaciones sobre el medio marino que se producen en la UICN.

Otros aspectos destacados mencionados incluyen la Lista Verde, una iniciativa de la CMAP pero que ahora es una parte activa del Programa de la UICN. También se mencionó el trabajo en OECM, específicamente los esfuerzos realizados por el equipo de trabajo para desarrollar una guía para las Partes en el CDB. Se prestó especial atención a la importancia de las OECM en Namibia, donde no solo aumentó la cobertura de áreas, sino también la representación en los diferentes ecosistemas.

La Comisión está trabajando mucho en las soluciones basadas en la naturaleza, alineadas con los ODS, y la CMAP fue, de hecho, una de las primeras en promover los sistemas naturales como soluciones naturales. La salud y el bienestar es un tema emergente y la CMAP ha establecido un GE que cuenta con el apoyo de Parks Victoria. La iniciativa Parques sanos – Gente sana está ahora en marcha en Australia, Colombia, Nueva Zelanda y el Servicio de Parques Nacionales de los Estados Unidos. Por el momento, este es un nicho vacío que la UICN debería llenar, por cuanto está estrechamente relacionado con las zonas urbanas y la Alianza Urbana. Todo lo que hace la CMAP se relaciona con la creación de capacidad y, a este efecto, se han publicado tres nuevas Directrices sobre buenas prácticas. El *Global Register of Competences for Protected Area Practitioners (*Registro mundial de competencias para los profesionales de áreas protegidas) se ha publicado en francés y se están realizando gestiones para producirlo en otros idiomas.

A pesar del excelente trabajo que realizan los miembros de la CMAP, la Comisión enfrenta algunos desafíos. Entre ellos se encuentra el hecho de que la UICN está siendo reestructurada y que la Unidad de Apoyo a las Comisiones necesita más capacidad para satisfacer las necesidades de la Comisión. También hay problemas con el portal. Algunas de las preocupaciones de la Comisión giran en torno a cómo ampliar la red regional y, por supuesto, lo relativo a la obtención de más recursos financieros para las áreas protegidas y las actividades de la CMAP. La asignación básica de la CMAP es de CHF 218.000, pero una estimación conservadora de la contribución en especie es de CHF 3,7m. Este financiamiento incluye dos puestos pagados por Parks Canada.

De cara al futuro, la CMAP estará presente en la COP del CDB en Egipto en noviembre y en la Conferencia WILD 11 en China en 2019. Un hecho destacado es que el año próximo la CMAP está planeando una especie de "60 aniversario" para la Comisión, de modo que coincida con el punto intermedio entre los Congresos Mundiales de Parques. Seguidamente, la Presidenta hizo un llamamiento a los Consejeros Regionales para que trabajen con los Miembros en el Congreso de Áreas Protegidas de ALC en Lima en marzo de 2019, subrayando que sería provechoso vincular esto al Foro Regional de la Conservación. La CMAP participará además en el Congreso Regional de Parques de África, 2019, y ha establecido un grupo de tareas posterior a 2020 que se centrará en temas relacionados con las áreas más allá de la Meta 11 de Aichi.

4.2 Discusión sobre la actuación de las Comisiones

A petición del Presidente de la UICN, el Presidente del CPP, Jan Olov Westerberg, facilitó la discusión sobre la actuación de las Comisiones. Dividió a los Consejeros en seis grupos para examinar cada una de las Comisiones. Las preguntas sobre las que los grupos debían debatir e informar eran: *"¿Qué está bien?"*, *"¿Qué no lo está?*" y *"¿Qué sigue?".*

[A solicitud del Presidente de la UICN, el Vicepresidente Malik Amin Aslam Khan presidió esta sesión para la discusión del punto 4.2 del orden del día]

Los seis grupos proporcionaron la siguiente retroalimentación a las Comisiones:

- **CMDA** (relator: Marco Vinicio Cerezo Blandón). *¿Qué está bien?*: el dinamismo de la Comisión; la red de expertos judiciales, como por ejemplo, el Instituto Judicial Mundial, el Pacto Mundial para el Medio Ambiente; la presión que la CMDA está ejerciendo sobre los límites de la legislación ambiental para considerar la naturaleza como un tópico más sólido del derecho. *¿Qué no lo está?*: el acceso limitado a la ley y los muchos grupos, incluidos los pueblos indígenas, que están excluidos; el hecho de que el trabajo que se está realizando en materia legal no es ampliamente conocido o utilizado más allá de la comunidad profesional; la necesidad constante de pasar de la ley a la aplicación

de la ley; la dificultad que tienen muchos grupos para cubrir los costos financieros de la representación legal; los riesgos que implica un mayor cumplimiento de la ley. *¿Qué sigue?*: abordar la defensa de los defensores de la naturaleza; un mejor cumplimiento de las leyes contra el tráfico de especies silvestres y la caza furtiva; esfuerzos para movilizar a los jueces y fiscales para mejorar los litigios a favor de la naturaleza; desarrollo de indicadores para medir el impacto y el éxito de la CMDA.

- **CMAP** (relatora: Jesca Eriyo Osuna) *¿Qué está bien?*: valorar la naturaleza; promover la inversión en las áreas protegidas, asegurando el rendimiento sobre estas inversiones; parques urbanos; salud y bienestar; la Lista Verde, el hecho de que se están desarrollando estándares y reglamentos a nivel local, nacional y regional; el número de publicaciones; el número de GE. *¿Qué no lo está?*: la idea persistente y la falta de conocimiento en torno a que los fenómenos meteorológicos extremos no son el resultado de acciones humanas; la falta de percepción con respecto a que las áreas protegidas pueden proporcionar valor económico, social, cultural y político; desconocimiento del rédito de la naturaleza; la falta de inversión y políticas claras en algunos países o la falta de implementación de estas políticas; actividades ilegales y degradación, por ejemplo, la explotación forestal o la minería, incluso cuando se comprenden las consecuencias; el tráfico de vida silvestre; los ataques a los defensores del medio ambiente. *¿Qué sigue?*: ampliar las historias de éxito; aumentar las inversiones del sector privado y aumentar la participación de la sociedad civil y las personas en los esfuerzos de conservación; sensibilizar a la generación joven, las mujeres y los pueblos indígenas; emplear el conocimiento indígena para proteger la naturaleza; fortalecer las alianzas y una mayor focalización de los responsables de las decisiones de alto nivel.
- **CPAES** (relatora: Tamar Pataridze) *¿Qué está bien?*: la estructura de las Comisiones con sus Presidentes y Presidentes Adjuntos para los diversos comités directivos, grupos de tareas, cestas de conocimiento, garantizar un buen flujo de información de arriba hacia abajo y viceversa; la buena comunicación con las otras Comisiones, especialmente la CEC con la que comparten numerosas iniciativas, y la Secretaría, demostrar el enfoque de Un solo Programa; el trabajo que se realiza con las organizaciones de pueblos indígenas, para lo cual se ha creado una buena plataforma para la creación de redes; las cestas de conocimiento. *¿Qué no lo está?*: el hecho de que la cobertura regional necesita mejorarse, por ejemplo, en Asia, algunas partes de Europa, Asia occidental; la ausencia del componente económico en sus Comités Directivos. ¿Qué sigue?: integrar el componente económico en el Comité Directivo; aumentar la membresía en regiones subrepresentadas; considerar la posibilidad de que los miembros del Consejo asistan a las reuniones del Comité Directivo para facilitar el flujo de información; organizar talleres que se puedan llevar a cabo de forma consecutiva con el Comité Directivo.

- **CGE** (relator: Lider Sucre) *¿Qué está bien?*: la fuerte presencia en las redes sociales, por ejemplo, la URL para la RLE que ha recibido 93.000 visitas, demostrando una excepcional participación del público en un tema nada fácil; el trabajo realizado con relación a los esfuerzos de RLE en dos ámbitos: (1) países comprometidos a nivel oficial con la priorización de los ecosistemas; y (2) generación de comparaciones en base a datos equivalentes en los países con respecto a las amenazas a las que están sometidos los ecosistemas –esto se puede utilizar a escala global para atraer a otros países; el trabajo relacionado con las soluciones basadas en la naturaleza (SbN) está captando financiamiento y los donantes pueden medir resultados tangibles, por ejemplo, cuántas hectáreas se han restaurado mediante un enfoque de SbN; el curso MOOC sobre RRD que atrajo a 4.000 participantes; la adición del Smithsonian y TNC a la red de AbE ha añadido tracción y generación de apoyo para un concepto importante. *¿Qué no lo está?:* no hay suficiente dinamismo en la gobernanza de los ecosistemas, un tema crucial que necesita ser mejor explicado e impulsado; la necesidad de aumentar las iniciativas de colaboración. *¿Qué sigue?:* invitar a más países a contribuir a la RLE e involucrar a más grupos temáticos en este esfuerzo; desarrollar más cursos MOOC, bajo el modelo orientado a los negocios, ya que esta herramienta atrajo a 1.700 participantes que normalmente no se relacionarían con la UICN; ampliar la política de compensaciones de la UICN para restauración; a pesar de tener un buen equilibrio geográfico, ampliar la representación nacional en la Comisión.
- **CSE** (relator: Mangal Man Shakya) *¿Qué está bien*?: la CSE y la Lista Roja de la UICN. *¿Qué no lo está?:* el hecho de que no existe un vínculo con la CMAP cuando debería haber una relación de trabajo muy estrecha; que debería funcionar dentro de un marco de M&E; que debería vincularse con las Metas de Aichi y otras cuestiones relacionadas con la biodiversidad. *¿Qué sigue?:* la desmitificación de la CSE y la Lista Roja para el público en general; hacer que la Lista Roja sea la herramienta esencial o "Biblia" para los administradores de parques.
- **CEC** (relator: Mamadou Diallo) *¿Qué está bien?*: los diferentes tipos de herramientas de comunicación producidas para los jóvenes y la modernización de estas herramientas; el hecho de que el público objetivo ha sido estudiado con un enfoque particular en los jóvenes para tratar de cambiar el comportamiento de los jóvenes; la diversidad de actividades que se llevan a cabo en el mundo; el amplio apoyo brindado para la organización del 70º aniversario con el logotipo, el sitio web y varios eventos. *¿Qué no lo está?:* la oportunidad que se desaprovechó cuando WWF fue seleccionado por encima de la CEC como el socio del CDB para la implementación de las Metas de Aichi, lo que podría haber ayudado a obtener financiamiento; el hecho de que el logotipo de la UICN no se muestra junto con el logotipo de la Comisión, hecho que debe corregirse para ilustrar a quienes no están familiarizados con la UICN acerca del vínculo que existe entre ambas; la visibilidad de la Comisión que debe reforzarse dado que solo hay 1.400 seguidores en las redes sociales; el número relativamente bajo de miembros en la Comisión y el grave desequilibrio en algunas regiones. *¿Qué sigue?:* una mayor movilización de miembros en todo el mundo; indicadores para #NatureForAll para evaluar el éxito de varios proyectos; trabajar en colaboración con los Consejeros Regionales y los Directores Regionales para asegurar una mayor representación de todas las regiones.

Jan Olov Westerberg concluyó esta enérgica discusión sobre la actuación de las Comisiones con sus propios comentarios. Señaló dos puntos en la categoría *¿Qué está bien?*: en primer lugar, la colaboración dinámica entre los Presidentes de las Comisiones. Habiendo observado esto desde Barcelona, ve ahora una mayor interacción y discusión, lo cual es excelente para la Unión. Su segunda observación es que todas las presentaciones de las Comisiones incluyeron una línea sobre contribuciones en especie, por un monto de alrededor de USD 100 millones, y señaló que la UICN debe tener en cuenta todo el tiempo invertido por los miembros de estas Comisiones que trabajan tan diligentemente a favor del medio ambiente.

El Vicepresidente Malik Amin Aslam Khan agradeció al Consejo los comentarios constructivos y señaló que dos de las Comisiones habían mencionado a los defensores de la naturaleza que están inmersos en una batalla desigual. La UICN tiene la Lista Roja y la Lista Verde, y tal vez debería considerar también una Lista de Oro que reconozca a los defensores de la naturaleza que han entregado su vida defendiendo nuestro planeta.

Norbert Baerlocher, Consejero de Suiza, ofreció luego una descripción general del itinerario para la excursión del Consejo a la región central de Suiza que el Gobierno suizo había ofrecido al Consejo para los días 3 y 4 de mayo de 2018. En aras de ser respetuosos con el medio ambiente, el viaje se había organizado utilizando el transporte público. Aunque el tren supondrá algunas limitaciones de tiempo, promoverá la interacción y el espíritu de grupo. El plan es visitar varios parques y la Biosfera Entlebuch en el cantón de Lucerna, esta última visita incluye una discusión sobre la Lista Verde y su aplicabilidad a la biosfera. También se organizó una reunión con un Ministro de Medio Ambiente regional, que describirá las políticas ambientales suizas y explicará la participación del país en las diferentes convenciones y organizaciones relacionadas con la biodiversidad. La excursión finalizará con una visita al Secretario de Estado (federal) para el Medio Ambiente en Berna.

El Presidente de la UICN agradeció a su Vicepresidente y a Jan Olov Westerberg por la interesante discusión sobre la actuación de las Comisiones. Exhortó a todos los Consejeros a acompañarlo en la excursión del Consejo que tan amablemente había ofrecido el Gobierno suizo.

Martes 1 de mayo de 2018 de las 19:30 a las 21:00 – TERCERA SESIÓN PLENARIA

Punto 6 del orden del día. Cena de trabajo del Consejo con la Directora General

[El Consejo celebró su tradicional cena de trabajo con la Directora General. Esta parte de la reunión del Consejo fue confidencial de conformidad con el artículo 58 de los Estatutos]

Miércoles 2 de mayo de 2018 de las 9:20 a las 13:00 – CUARTA SESIÓN PLENARIA

Punto 5 del orden del día. Discusión estratégica

5.1 Gestión de riesgos empresariales *[Documentos del Consejo C/94/FAC64/4/1 y C/94/FAC64/4/2]*

El Presidente de la UICN introdujo el tema señalando que las discusiones estratégicas del Consejo siempre comienzan con una revisión de los riesgos estratégicos que enfrenta la Unión. La nueva Política de gestión de riesgos empresariales y la Declaración sobre la tolerancia al riesgo fueron analizadas en el CFA, por lo que invitó al Presidente del CFA a presentar las recomendaciones del CFA.

Ayman Rabi, Presidente del Comité de Finanzas y Auditoría (CFA), informó al Consejo que el CFA había revisado y examinado tanto la Política de gestión de riesgos empresariales (GRE) como la Declaración sobre la tolerancia al riesgo. Los miembros del CFA han comprobado que la política está en línea con las mejores prácticas y estándares globales establecidos en ISO 31000, y que responde a las expectativas crecientes de los donantes. Hizo hincapié en que la política debe ahora plasmarse en la práctica. Además, es importante que siga siendo un documento de trabajo que pueda modificarse conforme cambien los riesgos.

La Declaración sobre la tolerancia al riesgo, que será revisada regularmente y actualizada según sea necesario, define varios tipos de riesgo y el nivel de riesgo que la UICN está dispuesta a tomar en las esferas estratégica, financiera, operativa, de cumplimiento, reputacional y externa. La Unión aceptará una tolerancia moderada al riesgo en términos de riesgo estratégico, mientras que aceptará una tolerancia al riesgo de baja a moderada por incurrir en déficits financieros en sus operaciones en todo el mundo, y una tolerancia moderada al riesgo cuando se trata de explorar nuevas vías para la generación de ingresos mediante asociaciones de colaboración con socios y donantes no tradicionales. En cuanto a los riesgos operacionales, la UICN aceptará una tolerancia al riesgo de moderada a alta para proyectos difíciles si están alineados con nuestras fortalezas y prioridades estratégicas, pero con una tolerancia baja al riesgo ante la desviación de sus normas. No hay margen para concesiones en lo que respecta al cumplimiento y, por lo tanto, el nivel de tolerancia al riesgo es cero en casos de mala conducta, fraude, acoso o discriminación que puedan socavar la integridad de la Unión. La UICN tendrá poca tolerancia al riesgo reputacional y una tolerancia de baja a moderada para los riesgos externos. El CFA recomienda que se acepten tanto la Política de GRE como la Declaración sobre la tolerancia al riesgo.

Durante la discusión, se señalaron los siguientes puntos:

- El Tesorero de la UICN, Nihal Welikala, respondió con su aprobación, seguida de algunos comentarios. Es necesario que la UICN pase de la teoría a la práctica y debata sobre cómo poner en práctica la Declaración sobre la tolerancia al riesgo. Estas declaraciones sobre riesgos son necesarias porque las partes interesadas están elevando el listón; los donantes se vuelven cada vez más reacios al riesgo. Además, existen nuevas reglamentaciones sobre protección de datos que conllevan fuertes sanciones por violaciones. La UICN debe protegerse, y contar con un proceso sólido que se comunique a los donantes podría ser una ventaja competitiva. Al analizar los tipos de riesgo que la UICN busca cubrir, los riesgos más fáciles son los transaccionales. Más difíciles son los riesgos estratégicos tales como la forma en que la UICN se posiciona, cuál es la estrategia para llegar allí, cómo aborda la Unión el cambio, así como las nuevas amenazas y oportunidades. Esta es una esfera desafiante que tiene implicaciones financieras y la Unión debería concebir un Plan B y C basado en la probabilidad de resultados.
- Un Consejero apuntó que estos riesgos están siendo analizados tanto dentro del contexto del CFA como también dentro del contexto de la gestión financiera y las transacciones de la organización. En asuntos financieros, el riesgo bajo es atinado, aunque considerando cómo se está involucrando la UICN en el desafío de la conservación, instó a la UICN a que no se convierta en una organización demasiado reacia al riesgo.

El Presidente de la UICN concluyó la discusión recordando al Consejo que todas las decisiones pueden tener implicaciones financieras importantes. La mejor estrategia es identificar cuáles son las oportunidades, especialmente las oportunidades estratégicas y operativas.

DECISIÓN DEL CONSEJO C/94/4
El Consejo de la UICN,
por recomendación de su Comité de Finanzas y Auditoría,
aprueba:
1. la Política sobre gestión de riesgos empresariales **(Anexo 2)**; y
2. la Declaración sobre tolerancia al riesgo. **(Anexo 3)**

5.2 Objetivos estratégicos y prioridades del Consejo para 2017-20 *[Diapositivas disponibles como documentos del Consejo C/94/5.2a PPT Propuesta de valor de la UICN y C/94/5.2b PPT Objetivos estratégicos y prioridades del Consejo para 2017-20]*

El Presidente de la UICN señaló que el Consejo debería revisar los objetivos estratégicos y prioridades para el mandato actual teniendo en cuenta los riesgos estratégicos. En la reunión del Consejo de noviembre de 2017, se acordó establecer un grupo de trabajo para analizar los objetivos estratégicos que podrían lograrse de manera realista en el resto del mandato. No obstante, debido a los muchos compromisos de los Consejeros, no fue posible establecer este grupo de trabajo. Empero, el Consejero de la UICN, Peter Cochrane, había, sin embargo, estado dirigiendo la discusión en las reuniones de la Junta Directiva, basándose en los elementos de reflexión planteados en discusiones anteriores. Dado que los objetivos y las prioridades del Consejo ya habían sido discutidos en las dos reuniones anteriores del Consejo y que el mandato del Consejo se encuentra casi a la mitad del camino, el Presidente subrayó a los Consejeros la urgencia de tomar algunas decisiones.

El Consejero de la UICN, Peter Cochrane, recordó a los Consejeros que las discusiones anteriores se habían centrado en dos elementos, la propuesta de valor de la UICN y los objetivos estratégicos del Consejo. La propuesta de valor se consideró crítica; es un elemento de la estrategia de membresía y también ayudará a los Consejeros en su función de embajadores. Se explicó que los Consejeros habían examinado primero la propuesta vigente, y luego estudiaron una más larga que fue propuesta por Peter Cochrane. Los cinco puntos de la versión acordada en noviembre de 2017 amplían la propuesta de valor existente, pero la adaptan mejor a las fortalezas únicas de la UICN. Una vez definida, la propuesta de valor se incorporará al desarrollo de la estrategia de membresía. Peter Cochrane se ofreció a revisar la Propuesta de valor a la luz de otras observaciones formuladas y devolver una versión revisada al Consejo antes del final de la reunión del Consejo.

La discusión subsiguiente planteó los siguientes puntos:

- Hubo cierta confusión sobre el significado de “comunidades de mejores prácticas”. Se explicó que este es un término comúnmente empleado que simplemente se refiere a grupos de personas que trabajan juntas; esto incluiría el trabajo de las Comisiones de la UICN.
- Con referencia al punto 3, un Consejero expresó el deseo de agregar cuestiones relativas a los derechos y la gobernanza, ya que no se trata solo de estándares y leyes, sino de los derechos del ser.
- Se preguntó cuál es exactamente la intención de esta propuesta de valor. ¿Es un documento de reflexión que pretende informar al Programa? Peter Cochrane explicó que la membresía es una de las tres prioridades estratégicas y que esta declaración se incorporará a la estrategia de membresía. Se pretende que sea una breve declaración de lo que hace la UICN, en qué se diferencia y por qué es pertinente. También proporcionará a los Consejeros una “historia” común cuando actúen como embajadores de la UICN. Irá de la mano con el Programa y debe tener el mismo lenguaje.

- Un Consejero consideró esta propuesta de valor como una especie de declaración de visión, sobre la cual se basa la estructura programática, que se integra muy bien en la misión de la UICN. Otros Consejeros la consideraron como de una naturaleza más operacional, que representa un resumen de lo que hace la UICN y que podría utilizarse al abordar a los Miembros.
- Se expresó el deseo de dar más visibilidad al impacto que la Unión tiene en el ámbito del desarrollo sostenible, asegurando que las palabras "desarrollo sostenible" figuren en esta propuesta.

Peter Cochrane resumió luego la discusión que había tenido lugar en la última reunión del Consejo en torno a cuáles deberían ser las prioridades estratégicas. El sentimiento general que surgió de la discusión fue que las cinco prioridades sugeridas anteriormente no eran muy emocionantes ni estratégicas, sino que reflejaban las actividades habituales, y que la cuestión más importante sería cómo configurar la Unión y su Programa para el futuro. El Presidente había concluido la discusión en noviembre de 2017 diciendo que debería haber un número limitado de prioridades estratégicas para lograr un cambio transformador al término del mandato actual. Reflexionando sobre los puntos planteados en la discusión, Peter Cochrane propuso dos diapositivas con diez posibles prioridades programáticas, sin un orden particular de prioridad. También se podría agregar una prioridad urbana a la lista, pero no está claro qué se podría lograr en los próximos dos años. Luego sugirió que la Secretaría creara algún tipo de mecanismo, por ejemplo, un portal para consultas o debates, para que los Consejeros pudieran discutir los temas, seguido luego de un proceso de votación que les permitiría emitir tres votos (todos para una prioridad o tres prioridades diferentes). Esto reflejaría las tres prioridades principales.

Los siguientes comentarios fueron hechos durante la discusión subsiguiente:

- Uno de los enfoques dentro de la Junta Directiva y el CCG es continuar trabajando para mejorar la gobernanza, y esto es bastante extenso. Debería quedar reflejado.
- Se expresó la preocupación de que el punto relacionado con el sector privado podría precisar una reformulación de la política sobre el sector privado en cuyo desarrollo se había invertido mucho trabajo.
- Varios Consejeros expresaron la opinión de que es necesario considerar qué tipo de resultados espera el Consejo y especialmente qué se puede lograr en el plazo previsto. Cualquier mecanismo de discusión o votación debe dejar muy claro que las prioridades deben ser alcanzables en el plazo previsto.
- Un Consejero solicitó que se aclarara si se tuvo en cuenta las implicaciones comerciales o financieras. La UICN enfrentará algunos desafíos estratégicos en 2020, ya que prácticamente todo el financiamiento marco llegará a su fin. Habrá que dedicar mucho esfuerzo a la preparación de la organización para 2020. ¿Debería el Consejo centrarse solo en cuestiones programáticas o hay otras consideraciones?
- Muchas de estas prioridades se ajustan a la arquitectura que el Consejo ya tiene, en otras palabras, en los grupos de trabajo. Algunas son claramente de carácter interno: lo que el Consejo espera lograr en términos de membresía; la gobernanza como un elemento central del legado; lo que el Consejo desea lograr en términos de sostenibilidad financiera y nuevas fuentes de ingresos. Otras prioridades son de carácter externo: en el programa y las políticas; relaciones de trabajo; productos relacionados con la conservación. Podría ser de utilidad desglosar las 10 en varias categorías para luego retroalimentarlas a los grupos de trabajo.
- La Directora General de la UICN opinó que convendría realizar más consultas con las Comisiones y la Secretaría, ya que gran parte de lo que se propone es de naturaleza programática. No parece ser una exploración completa de las actividades que se están implementando actualmente, ni es un reflejo del Programa votado en Hawai'i, por lo que se necesitaría profundizar la discusión. Si lo que se desea es agregar nuevos elementos, sería aconsejable realizar un análisis en toda la organización antes de finalizar. Es preciso distinguir los legados que son de naturaleza programática de los legados relacionados con la gobernanza. El Consejo anterior logró la membresía de las OPI y esto fue monumental. Tal vez hay otros legados de esta naturaleza que el actual Consejo quisiera ofrecer. Como primera sesión de intercambio de ideas, esto ha sido útil. Aconsejó cautela antes de agregar cualquier otro elemento, ya que cada Comisión tiene un plan de trabajo y la Secretaría tiene el Programa de la UICN que fue votado en Hawai'i.

El Presidente de la UICN solicitó la opinión de los Presidentes de las Comisiones.

- El Presidente de la CEC compartió la opinión de la Comisión en punto a que en esta discusión falta un enfoque estratégico. Sugirió que los objetivos del programa podrían incluirse en un informe para el Congreso en el que se presentaría una posición sobre la biodiversidad mundial. Un informe principal con el objetivo explícito de llevar un legado de la Unión a la COP del CDB en China podría ser apoyado por la reunión de alto nivel en el Congreso y en China, dándole a la Unión influencia política y programática.
- La Presidenta de la CMAP estuvo de acuerdo en que este documento refleja muchas buenas ideas, pero que las Comisiones ya están trabajando en algunas de ellas. Inquirió cómo impactará esto el programa de trabajo de cara al futuro, y enfatizó que debe estar estrechamente vinculado al desarrollo del plan de trabajo más allá de 2020.
- El Presidente de la CSE reiteró la necesidad de reflexionar estratégicamente sobre el legado del Congreso 2020. Para la CSE, los Miembros deben salir del Congreso con renovada energía y entusiasmo. No se está prestando suficiente atención a los Miembros, y es imperativo motivarlos para adoptar e implementar el Programa. Corresponde a todos ayudar en este propósito.
- La Presidenta de la CGE opinó que esta ha sido una discusión clave y especialmente provechosa al reflexionar sobre el futuro. La mayoría de los temas en las diapositivas son parte del plan de trabajo actual, y se han extraído muchas

lecciones. Necesitamos enfocarnos en el impacto que la UICN puede tener con algunas de estas prioridades; es importante ver resultados y efectos palpables tangibles.

El Presidente sugirió que se establezca un pequeño grupo de trabajo e invitó a Peter Cochrane a presidirlo. El grupo de trabajo debería estar compuesto por los tres pilares, el Consejo, la Secretaría y las Comisiones, y debería tener un equilibrio geográfico, de género y temático (financiero, programa, derecho, gobernanza). Preguntó quién podría tener interés en participar, confirmando que la decisión se tomará después de la reunión del Consejo. *[Los siguientes miembros del Consejo expresaron interés en participar: Peter Cochrane, Jan Olov Westerberg, Andrew Bignell, Ameyali Ramos, Jesca Eriyo Osuna y Mangal Man Shakya]*

Se continuó la discusión, señalando los siguientes puntos:

- En respuesta a las razones por las cuales se está creando el grupo de trabajo, Peter Cochrane acotó que el artículo 44 del Reglamento estipula que el Consejo acordará sus prioridades estratégicas en la segunda reunión después del Congreso, y esto aún no se ha hecho. El propósito debe reflejarse en los TdR que preparará el pequeño grupo de trabajo que se establecerá. Luego sugirió que tal vez el objetivo estratégico más simple sería lograr que el próximo Congreso Mundial de la Naturaleza sea un evento que cambie el mundo. Ya que se realizará un trabajo por separado sobre el próximo Programa, este grupo de trabajo podría centrarse en los mensajes clave que el Congreso transmitirá, incluyendo cuestiones tales como un marco de biodiversidad posterior a 2020, nuevas asociaciones y acuerdos marco, y una mayor apropiación del Programa.
- El enfoque aquí debería centrarse en las prioridades estratégicas del Consejo, no en las de la Unión en su conjunto. No debería centrarse en el Programa 2020, sino en el legado del Consejo, algunas cuestiones clave que el Consejo ha logrado durante su mandato. Una de estas podría ser el trabajo realizado sobre los defensores del medio ambiente que ha llevado este tema al plano internacional.
- Algunas prioridades estratégicas fueron en efecto establecidas cuando se constituyeron los grupos de trabajo. Así que, si bien las prioridades estratégicas explícitas no están por escrito, esto sería fácil de hacer reflexionando sobre lo que el Consejo ha estado haciendo durante su mandato.

5.3 Mejora de la gobernanza de la UICN *[documentos del Consejo C/94/5.3a Aspectos que cabe mejorar en la gobernanza de la UICN y C/94/5.3b Propuesta de modificación al artículo 45bis del Reglamento – Puntos Focales Mundiales del Consejo de la UICN]*

El Presidente de la UICN informó al Consejo que la Junta Directiva había dedicado mucho tiempo en su última reunión a revisar el informe producido por el grupo de trabajo que había establecido en mayo de 2017 para identificar en qué aspectos cabe mejorar la gobernanza de la UICN. El grupo de trabajo compuesto por Jennifer Mohamed-Katerere y Antonio Benjamin, con la colaboración de Sandrine Friedli Cela y Luc De Wever, había creado una herramienta para que el Consejo pueda mantener una visión general de todos los cambios en las prácticas y normas relacionadas con la gobernanza que el Consejo considera necesarios para aumentar la eficacia y eficiencia de la labor de la UICN. También permite al Consejo monitorear el trabajo realizado por el CCG y otros órganos.

El Presidente continuó explicando que después de la presentación de Jennifer Mohamed-Katerere sobre los aspectos de gobernanza que precisan mejoras, se le pediría a los Consejeros que aprueben una modificación al artículo 45*bis* del Reglamento, en respuesta a una solicitud planteada durante la 92ª reunión del Consejo en febrero de 2017. La solicitud consistió en hacer que la disposición actual, que pide que el Consejo designe un Punto Focal Mundial sobre Océanos del Consejo de la UICN, sea más general para que –si se considera necesario– se pueda designar otros puntos focales. La modificación de este artículo del Reglamento permitiría a los Consejeros con los conocimientos técnicos adecuados intervenir y llenar las lagunas sin tener necesariamente que establecer un grupo de trabajo o grupo de tareas. La modificación precisará una segunda aprobación en la próxima reunión del Consejo, a partir de lo cual será posible designar otros puntos focales, como por ejemplo, de género, además del Punto Focal Mundial sobre Océanos del Consejo de la UICN que había sido nombrado por el Consejo en noviembre de 2017.

En su 74ª reunión (28 de abril de 2018), la Junta Directiva discutió y revisó el cuadro sobre mejoras de gobernanza para presentarlo al CCG el 30 de abril de 2018 bajo el punto CCG13/1.1 del orden del día y, con las recomendaciones del CCG, al Consejo para su aprobación.

Jennifer Mohamed-Katerere explicó que este grupo de trabajo había organizado su trabajo en torno a tres áreas principales de reforma de la gobernanza: cuestiones estratégicas, prácticas mejoradas y correcciones técnicas a los Estatutos. Se considera que las cuestiones estratégicas requieren un enfoque proactivo y la solución debe promover el cambio a mediano y largo plazo (temas bajo A). Las reformas y prácticas mejoradas (temas bajo B) son soluciones a corto plazo para desafíos prácticos de organización, y lo que se busca es aumentar la eficiencia. Estas reformas se dividieron en cinco categorías: cuestiones estructurales; funcionamiento eficaz; transparencia, independencia e integridad, y aspectos de supervisión. Los temas bajo C se refieren a cambios técnicos, es decir, correcciones, aclaraciones, directrices o procedimientos necesarios para implementar disposiciones específicas de los Estatutos, las Reglas y el Reglamento. Dada la decisión de la Junta Directiva de desarrollar y actualizar continuamente este cuadro, el grupo de trabajo presentará temas en las tres categorías, y luego creará un proceso para continuar desarrollando e identificando cuestiones. El primer paso en este proceso fue consultar con el Consejo anterior; se invitará al Consejo actual a formular observaciones o sugerencias sobre

dichas cuestiones después de esta reunión. Luego, la Junta Directiva agregó al cuadro las medidas necesarias para las cuestiones enumeradas, y asignó la responsabilidad para el desarrollo de las propuestas para abordar las cuestiones específicas.

[Nota: las notas siguientes se refieren a las áreas individuales que cabe mejorar incluidas en el Cuadro (documento C/94/5.3a Aspectos que cabe mejorar en la gobernanza de la UICN) y completan la información provista en el Cuadro sin repetirla]

Cuestiones estructurales (A)
A1: se presentará una propuesta como parte del Informe del CCG al Consejo.
A2: La propuesta se discutirá más adelante bajo este punto del orden del día (abajo).

Prácticas y reformas mejoradas (B)
Las siguientes cuatro mejoras se refieren a ***cuestiones estructurales****:*
B1: En los Estatutos hay, por ejemplo, referencias a los Presidentes de Comisiones que pueden tener connotaciones distintas a las de ser un miembro de pleno derecho del Consejo.
B2: Atendiendo la recomendación del grupo de trabajo de la Junta Directiva, el CCG decidió que los requisitos para establecer comités interregionales debían ser más genéricos, de modo que pudieran aplicarse a las tres categorías.
B3: La responsabilidad sobre el desarrollo de propuestas recae en los Presidentes de Comisiones.
B6: Durante el CCG se analizó la condición de los miembros de las Comisiones en los Comités Nacionales y Regionales, mediante lo cual se pidió a los Presidentes de las Comisiones y a la Asesora Jurídica que compartieran sus puntos de vista. La responsabilidad de presentar una recomendación al Consejo recae en el CCG.

En respuesta a una pregunta sobre la condición de los miembros externos que forman parte de los Comités Nacionales y Regionales, es decir, si pueden o no formar parte de un Comité, Jennifer Mohamed-Katerere recordó a los Consejeros que en la reunión anterior del Consejo, decisión C/93/15, se aprobaron asuntos relacionados con la participación de OING en los Comités Nacionales y Regionales, según lo cual las OING Miembro de la UICN podrán participar en los Comités Nacionales/Regionales de los países o regiones en donde estén presentes, como observadores con derecho a voz, cuando sean invitados por el Comité Nacional/Regional, pero solo podrán votar en el Comité Nacional/Regional en el que se encuentra su sede. Sin embargo, todavía hay algunas cuestiones relacionadas con esto que precisan la atención del CCG.

Las siguientes dos mejoras se refieren al ***funcionamiento eficaz****:*
B5: El CCG ya ha establecido un grupo de trabajo dirigido por Tamar Pataridze para preparar las decisiones del Consejo en octubre de 2018 para actualizar el proceso de mociones.
B9: La Directora General recibió con entusiasmo la solicitud de establecer y compartir con los miembros del Consejo un calendario de eventos de la UICN, y asumirá la responsabilidad de su implementación.

Las siguientes dos mejoras se refieren a ***transparencia, independencia e integridad****:*
B7: Esto se relaciona con el tema de la gobernanza de los Comités Nacionales en términos del artículo 66*bis* del Reglamento que se refiere a la relativa independencia de los Comités Nacionales para operar fuera de su país. La Directora General explicó que había expresado su preocupación en la Junta Directiva por la confusión que creaba el derecho de los Comités Nacionales a operar fuera de sus países con la marca de la UICN, pero sin supervisión sobre la marca, y entendía que la formulación amplia de B7 captaría su preocupación. La Presidenta del CCG confirmó esto y coincidió en que el Cuadro debía hacer referencia al artículo 66*bis* del Reglamento.
B8: Parte de esto se aborda como parte de la actualización del proceso de mociones. La responsabilidad recae en el CCG, que está abierto a trabajar con los miembros del Consejo que estén interesados en este asunto.

Las siguientes dos mejoras se refieren a ***supervisión****:*
B10: Esto está relacionado con el cumplimiento de los principios establecidos en el Reglamento de personal de la UICN. En primer lugar, la responsabilidad recae en la oficina de la DG, y la DG propuso una redacción para su inclusión en el Reglamento de personal para la consideración del CFA en la próxima reunión del Consejo. Esto deberá transmitirse al grupo de trabajo de la Junta Directiva por cuanto ellos siguen de cerca el avance de todas las cuestiones incluidas en el Cuadro.
B11: En un principio se pensó que esto se lograría con un mayor acceso al Portal de la Unión, pero dado que el Portal no es el depósito de documentos o archivo de la UICN, no resuelve el problema. Esto se ha agregado como un elemento de la revisión externa de la gobernanza de la UICN, y habrá una decisión de la Junta Directiva para fines de 2018 después de la discusión en la próxima reunión del Consejo de los resultados provisionales de la Revisión Externa (cuyos TdR han sido aprobados como parte del Informe del CCG al Consejo).

Correcciones, aclaraciones, directrices o cambios de procedimiento (C)
Las cuatro mejoras en esta área, C1–C5, se refieren a cambios técnicos, y son competencia del CCG.

Jennifer Mohamed-Katerere continuó señalando que había dos elementos planteados en la reunión del Consejo del 1º de mayo que debían incluirse en el Cuadro para la futura consideración del Grupo de trabajo, pero recalcó que no estaban para ser considerados en esta reunión: (1) revisar/aclarar el mandato de los Consejeros junto con la periodicidad del Congreso, y (2) fortalecer el proceso para la selección de la fecha y el lugar de los futuros Congresos Mundiales mediante

la participación de un miembro del Consejo en una etapa temprana del proceso de evaluación. Se invitará a los Consejeros a enviar al Grupo de trabajo de la Junta Directiva cualquier otra cuestión que considoeren que debería agregarse al Cuadro.

DECISIÓN DEL CONSEJO C/94/5

El Consejo de la UICN,

- reconoce la labor realizada por la Junta Directiva, con la colaboración de su grupo de trabajo, para identificar áreas para el mejoramiento de la gobernanza de la UICN;
- exhorta a la Junta Directiva a seguir desarrollando la lista e invita a los miembros del Consejo a realizar aportaciones al grupo de trabajo de la Junta Directiva;
- valora la disponibilidad del Comité de Constituyentes y Gobernanza, del Comité de Finanzas y Auditoría y de la Directora General para preparar propuestas para el debate y la aprobación del Consejo o la Junta Directiva, como se indica en el documento C/94/5.3 del Consejo.

Jennifer Mohamed-Katerere abrió la discusión sobre el nombramiento de puntos focales mundiales. Varias reuniones atrás, el Consejo abordó el tema del artículo 45*bis* del Reglamento que otorga al Consejo el derecho de nombrar a un Punto Focal Mundial sobre Océanos del Consejo. El Consejo solicitó al CPP que desarrolle los TdR para este punto focal sobre océanos en la 93ª reunión del Consejo, los cuales fueron distribuidos a los Consejeros. Basándose en estos TdR, el Grupo de trabajo de la Junta Directiva elaboró una modificación al artículo 45*bis* del Reglamento que permitiría al Consejo deliberar sobre el asunto y, de adoptarse, designar puntos focales adicionales si surgiera la necesidad. Las principales modificaciones al Reglamento aseguraron que la designación de los puntos focales siga siendo un derecho del Consejo pero no se convierte en un requisito (cambiando "deberá" por "podrá"), y que el Consejo podrá designar más de un punto focal. El Reglamento se amplió para indicar explícitamente que el mandato para los puntos focales es concurrente con el mandato del Consejo que los designa. Además, se agregaron cuatro razones al artículo 45*bis* del Reglamento para designar puntos focales.

El Presidente de la UICN abrió el debate:

- A modo de una cuestión de orden, se preguntó por qué se eligió el mecanismo de un Grupo de trabajo de la Junta Directiva en lugar de trabajar a través del CCG, y por qué en esta etapa no transferimos la autoridad para hacer dichas propuestas al Consejo en lugar de que sea una recomendación directa de la Junta Directiva al Consejo. La preocupación no era sobre qué órgano redacta el texto para su modificación, sino qué órgano presenta la recomendación al Consejo. Los cambios en el Reglamento eran tan esenciales para las deliberaciones del Consejo que deberían haberse realizado a través del mecanismo del Consejo. Jennifer Mohamed-Katerere respondió a la pregunta afirmando que el Grupo de trabajo de la Junta Directiva había redactado un texto precisamente para que el Consejo pudiera deliberar sobre el asunto. El texto fue presentado para ayudar al Consejo en este proceso y no tenía la intención de socavar su autoridad. El Grupo de trabajo de la Junta Directiva era consciente de esto y de ninguna manera creía que su mandato fuera redactar un texto, como lo demostraba la extensa lista de puntos del Cuadro que el CCG prepararía para la decisión del Consejo. Sin embargo, le recordó a todos que la labor del Grupo de trabajo de la Junta Directiva había sido presentada varias veces al Consejo y había sido respaldada, al igual que los asuntos relacionados con el artículo 45*bis* del Reglamento, que también habían sido presentados al Consejo en dos reuniones consecutivas. Sin embargo, no tenía inconveniente alguno en retirar la propuesta del Grupo de trabajo de la Junta Directiva para el artículo 45*bis* del Reglamento si así lo deseaba el Consejo, y presentarla al CCG.
- Otro miembro del Consejo solicitó que en algún momento en el futuro, se aclarara y documentara el proceso para presentar documentos y propuestas a la Junta Directiva, a sus Grupos de trabajo y a los Comités del Consejo, en particular si se trata de una reforma estatutaria que corresponde al mandato del CCG. Si el artículo 45*bis* del Reglamento fue aprobado en esta reunión del Consejo, ello no debe considerarse como un precedente para documentos futuros.
- El Presidente del CPP señaló una diferencia con los TdR que el CPP había aprobado para el Punto Focal Mundial sobre Océanos del Consejo de la UICN que establece que la tarea del Punto Focal sobre Océanos es servir de enlace con la Secretaría y las Comisiones, no con los Miembros de la UICN.

Antes de convocar a votación, el Presidente solicitó el asesoramiento de Sandrine Friedli Cela, Asesora Jurídica, sobre si la recomendación de modificar el texto del artículo 45*bis* del Reglamento debía volver al CCG para ser presentada al Consejo. En general, la Asesora Jurídica prefería que los cambios en el Reglamento fueran presentados al Consejo a través del CCG según lo previsto en los TdR del CCG. Sin embargo, en el caso del artículo 45*bis* del Reglamento, la Junta Directiva solicitó al Grupo de trabajo que presente la propuesta al Consejo con el fin de simplificar el proceso luego de que este asunto había sido planteado en reuniones anteriores del Consejo. La Asesora Jurídica recomendó que, si el Consejo deseaba realizar cambios adicionales en el texto, debería redirigirse al CCG en lugar de al Grupo de trabajo de la Junta Directiva. La Asesora Jurídica se ofreció a emitir una opinión jurídica al Consejo sobre esta cuestión de procedimiento.

A petición del Presidente de la UICN sobre cómo proceder, Luc De Wever, Secretario del Consejo, explicó que había entendido a los miembros del Consejo que, si bien no tenían objeciones a la modificación propuesta al artículo 45*bis* del Reglamento, pidieron que se aclarara el proceso. En consecuencia, si no había una solicitud para modificar la propuesta, él recomendaba al Presidente que invite al Consejo a aprobar la modificación propuesta, tomando nota de la solicitud para abordar la cuestión de procedimiento en el futuro.

A falta de modificaciones adicionales por parte de los Consejeros, el Presidente de la UICN llamó a una votación para modificar el artículo 45*bis* del Reglamento. Salvo dos abstenciones, todos los votos fueron a favor de la modificación.

DECISIÓN DEL CONSEJO C/94/6
El Consejo de la UICN,
adopta, en primera lectura, la enmienda propuesta al artículo 45*bis* del Reglamento con relación a los Puntos Focales Mundiales del Consejo **(Anexo 4)**; y
decide introducir la enmienda propuesta en el orden del día de la próxima reunión del Consejo de la UICN (octubre de 2018) para su adopción en segunda lectura, modificada según sea el caso tras la consulta a los Miembros de la UICN según lo previsto en los artículos 101-102 de los Estatutos.

Punto 7 del orden del día. Informes de los comités permanentes del Consejo

[Nota: La discusión en el plenario del Consejo se limitó a los asuntos de importancia estratégica presentados verbalmente por los comités. Los informes escritos de los comités fueron aprobados junto con los proyectos de decisión restantes, a menos que un miembro del Consejo hubiera deseado reabrir el debate sobre uno u otro elemento].

7.1 Informe del Comité de Finanzas y Auditoría (CFA) *[documento del Consejo C/94/7.1 – Informe del CFA al Consejo]*

El Presidente del CFA, Ayman Rabi, hizo una presentación de diapositivas sobre los resultados y recomendaciones del CFA *[disponible como C/94/7.1 Informe PPT del CFA al Consejo].*

En resumen, las cuentas de 2017 arrojaron un superávit de CHF 1,1 millones en lugar del déficit aprobado de CHF 2 millones, y agradeció a todos los que intervinieron en el proceso para equilibrar el presupuesto, especialmente a los donantes de la UICN. Sin embargo, los ingresos y gastos de proyectos están por debajo del presupuesto, y esto requiere más atención para mejorar. Las variaciones observadas entre el presupuesto y los valores reales se deben principalmente al financiamiento marco adicional y a las contribuciones más generosas de los Padrinos de la naturaleza, así como a gastos excepcionales (costos de indemnización por despido) por debajo del presupuesto. Las reservas se han incrementado en CHF 1,2 millones y actualmente se encuentran en CHF 21,5 millones. Una parte de las reservas se asignó al Congreso Mundial de la Naturaleza y a los Foros Regionales de la Conservación 2020, y los fondos restantes se transfirieron a otras reservas designadas, tales como la Revisión Externa, los saldos de los fondos para gastos de funcionamiento de las Comisiones y el desarrollo de sistemas.

Los Auditores Externos completaron la auditoría, incluyendo una declaración positiva, y están dispuestos a aprobar las cuentas financieras de 2017. Confirmaron que, aunque los controles internos de la UICN han mejorado, aún quedan algunos aspectos, tanto en TI como en controles financieros. Hicieron algunas sugerencias, incluyendo una modificación a la política sobre contratos a futuro aprobada en la última reunión del Consejo.

DECISIÓN DEL CONSEJO C/94/9
El Consejo de la UICN,
por recomendación de su Comité de Finanzas y Auditoría,
aprueba los Estados Financieros Auditados para 2017, señalando que la aprobación final recae en el Congreso Mundial de la Naturaleza 2020 de la UICN según lo previsto en el artículo 20 (d) de los Estatutos.

El Presidente del CFA informó a los Consejeros acerca de la necesidad, resaltada por los Auditores Externos, de una modificación a la política sobre contratos a futuro que se aprobó en la 93ª reunión del Consejo. El cambio agrega un párrafo sobre los umbrales de los contratos y la clasificación de la UICN para garantizar la integridad de la política y su pleno cumplimiento de la legislación suiza. Además de la redacción sugerida para el párrafo, los auditores adjuntaron una explicación de los niveles umbral que la UICN no puede exceder.

DECISIÓN DEL CONSEJO C/94/10
El Consejo de la UICN,
Por recomendación de su Comité de Finanzas y Auditoría,
aprueba la modificación de la Política y procedimientos sobre contratos a futuro para cubrir los riesgos cambiarios. **(Anexo 5)**

Ayman Rabi, Presidente del CFA, informó al Consejo que se había constituido un subcomité del CFA para considerar la solicitud planteada en la última reunión del Consejo para una partida presupuestaria para viajes de los Consejeros. Agradeció a los miembros del subcomité por su trabajo y el excelente informe. Con base en la opción 5 de este informe, el subcomité hizo una recomendación al CFA teniendo en cuenta los artículos 63 y 72 de los Estatutos de la UICN, así como las restricciones presupuestarias de la UICN.

DECISIÓN DEL CONSEJO C/94/11
El Consejo de la UICN,
por recomendación del Comité de Finanzas y Auditoría,

aprueba la asignación de una partida presupuestaria para viajes de los Consejeros, señalando que:

1. La gestión de esto implicará que el Consejero Regional y el Director Regional habrán de acordar por consenso los viajes que se realizarán, con la aprobación del Responsable de la Unidad de Gobernanza;
2. La elegibilidad estaría limitada a:
   a) Asistencia a reuniones de comités nacionales y regionales, y
   b) Viajes para alcanzar objetivos específicos fijados de común acuerdo entre el Consejero Regional y el Director Regional;
3. La línea presupuestaria se utilizaría para complementar otras oportunidades de financiamiento; y

solicita a la Directora General que incluya dicha partida en el Presupuesto de la UICN a partir de 2019.

El Presidente del CFA continuó su informe verbal explicando que el CFA había tomado nota de la demora en la presentación del borrador del reglamento de personal para su aprobación durante esta reunión debido a las prolongadas consultas al personal. La Secretaría había asegurado al CFA que las consultas al personal terminarían antes del 10 de mayo de 2018 y que el borrador del reglamento de personal quedará terminado antes de agosto de 2018 y será sometido a la aprobación del CFA mediante una reunión electrónica en agosto de 2018. El CFA destacó la importancia de finalizar e implementar el reglamento de personal –según lo acordado– a más tardar en agosto de 2018.

El Presidente del CFA informó que el CFA había tomado nota del informe de la Responsable de la Unidad de Supervisión (HoO) y pidió a la HoO que evalúe las causas de los incumplimientos reportados, incluyendo la evaluación de los sistemas existentes y las medidas de control interno. El CFA solicitó que la Secretaría tome medidas proactivas para reducir la posible ocurrencia de riesgos en el futuro y para difundir la Política para la Prevención de Fraudes en la Unión y sensibilizar al personal al respecto.

El Presidente del CFA continuó su informe verbal con una actualización sobre inversiones, movilización de recursos, proyectos de sistemas de información, el informe de la Asesora Jurídica, las cuotas de membresía y el Reglamento General de Protección de Datos.

Al final de su presentación, el Presidente del CFA invitó al nuevo Tesorero de la UICN a intervenir. Nihal Welikala, Tesorero, comenzó felicitando a la administración por los excelentes resultados obtenidos en 2017 y señaló tres puntos. Lo primero era informar a los Consejeros acerca del nivel de escrutinio utilizado para aprobar los resultados. Explicó que se utilizó un escrutinio de nivel 1, es decir, el CFA habló extensamente con el personal profesional, examinó el presupuesto y las cuentas, y también habló con los Auditores Externos. Comentó que para una organización como la UICN, compuesta por voluntarios a tiempo parcial, actualmente no es posible utilizar un escrutinio de nivel 2, que es mucho más exhaustivo y se centra en ámbitos tales como la ciber seguridad. La responsabilidad de supervisión, por lo tanto, recae ahora en la administración de la UICN. El segundo punto del Tesorero de la UICN tenía relación con la naturaleza de las ganancias. Los contadores difieren en sus cálculos de las ganancias, y como resultado de esta subjetividad, el mundo se está dirigiendo hacia enfoques más estandarizados para calcular las ganancias. La UICN debe ser consciente de que podría haber divergencias en cuanto al cálculo de las ganancias según las diferentes normas de contabilidad. Al parecer actualmente no existe obligación alguna para que la UICN adopte políticas contables estandarizadas. Esto podría cambiar si –por ejemplo– una agencia donante insistiera en la adopción de políticas contables estandarizadas para todos los beneficiarios de su financiación. De momento, esto no parece ser un asunto planteado por los donantes. Sin embargo, conversó con Mike Davis, Director Financiero, sobre el seguimiento de los ingresos de la UICN y sobre la situación de liquidez, además de la rentabilidad, a efectos de comprender dónde se originan los superávits o déficits. El último punto planteado por Nihal Welikala fue sobre la sostenibilidad financiera y la estrategia financiera, que forzosamente se corresponden con la estrategia empresarial, y él recomienda que la UICN empiece a centrarse en un marco de 5 años en lugar de uno más corto.

Durante la discusión subsiguiente se formularon varias observaciones:

- Jennifer Mohamed-Katerere, Presidenta del CCG, solicitó una corrección a la presentación, indicando que será la Secretaría, y no el CCG, la que preparará los TdR para la consideración del grupo de trabajo conjunto del CCG y el CFA.
- Con respecto a la disponibilidad de un plan de acción para la elaboración de un Reglamento sobre la protección de datos (GDPR, General Data Protection Regulation), la Directora General informó al Consejo que la Secretaría ha estado trabajando en ello a lo largo del último año. Sin embargo, debido a que la UICN es una organización compleja con muchas partes constituyentes, es preciso tomar en cuenta a las Comisiones por cuanto poseen una gran cantidad de datos y también deben cumplir con los reglamentos aplicables en materia de protección de datos.
- En respuesta a una pregunta sobre si la inmobiliaria WASA había sido contabilizada en forma separada, el Director Financiero explicó que las cuentas de WASA están consolidadas con los estados financieros de la UICN.
- Se expresó preocupación en relación con los problemas mencionados en el informe de la Unidad de Supervisión y se sugirió que los Consejeros Regionales interesados debían tener la información. La Directora General informó que es costumbre que la Responsable de la Unidad de Supervisión presente un informe confidencial al CFA sobre los "casos" actuales, los cuales son luego informados de manera anónima al Consejo. Ella recomienda que se continúe en la misma forma. De igual manera, el Informe de la Asesora Jurídica sobre un número limitado de acciones legales, en su mayoría relacionadas con la legislación laboral, se comunica al CFA a puerta cerrada para efectos de supervisión.

ALMUERZO – Presentación de los programas regionales y globales por:

- Dra. Cyrie Sendashonga, Jefe de la Unidad de Política Mundial
- Dr. Frank Hawkins, Director, Oficina de la UICN para América del Norte

Miércoles 2 de mayo de 2018 de las 14:30 a las 18:00 – QUINTA SESIÓN PLENARIA

Punto 7 del orden del día. Informes de los comités permanentes del Consejo (continuación)

7.2 Informe del Comité de Constituyentes y Gobernanza (CCG) *[documento del Consejo C/94/7.2 – Informe del CCG al Consejo]*

Jennifer Mohamed-Katerere, Presidenta del CCG, indicó que el informe escrito había sido distribuido a los miembros del Consejo, y que su informe verbal se limitaría a dos puntos de este informe: Miembros cuyos derechos fueron rescindidos por el Congreso Mundial 2016 y lo relativo a la designación de un Consejero adicional en virtud del artículo 38 de los Estatutos. *[Apoyado con diapositivas disponibles como C/94/7.2 PPT Informe del CCG al Consejo]*

Punto GCC13/2.5.1 – Miembros cuyos derechos fueron rescindidos por el Congreso Mundial 2016
El artículo 13 de los Estatutos estipula que los derechos de un Miembro con respecto a las elecciones, al voto y a las mociones quedarán suspendidos cuando el pago de sus cuotas se haya atrasado un año; si se atrasa dos años, el caso se remitirá al Congreso Mundial. En el último Congreso Mundial, se rescindieron los derechos de 161 Miembros. De estos, 120 Miembros fueron retirados después del Congreso; 15 Miembros ya no estaban en rescisión; 11 habían acordado planes de pago con la Secretaría; y 15, principalmente Estados, permanecieron en la lista de rescisiones. Esto representa un total de CHF 1,4 millones que actualmente se adeudan en cuotas de membresía, incluyendo cuotas para 2017-2018. Ante el dilema de cómo manejar estas deudas, algunas de las cuales son muy antiguas (algunas datan de 2012), el CCG solicitó a la Directora General que pida a los Directores Regionales que intensifiquen su interacción directa con estos Miembros restantes (principalmente Estados) y que incluyan a los Consejeros en esto, y presenten un informe al CCG a través del Grupo para el Fortalecimiento de la Unión (UDG) en un plazo de tres meses. Los derechos de estos Miembros restantes serán rescindidos si no se llega a un acuerdo.

Punto GCC13/1.5 – Designación de un Consejero adicional en virtud del artículo 38 de los Estatutos
El segundo punto del informe del CCG consiste en determinar si se debe designar un Consejero adicional para representar a las organizaciones de pueblos indígenas, en los términos del artículo 38(f). En una reunión celebrada en marzo de 2018 en Costa Rica, los miembros de las Organizaciones de Pueblos Indígenas (OPI) enviaron una carta al Consejo solicitando una mayor representación y participación en el Consejo. Al considerar este asunto, la Presidenta del CCG propuso un proceso de dos pasos: considerar qué intereses, cualificaciones y habilidades requiere el Consejo actual, y si estos deberían ser cubiertos por un representante de las IPO. Luego de la discusión con la Presidenta de la CPAES, el CCG decidió que en este momento, sin otras consideraciones sobre el tapete, un representante de las IPO sería designado como Consejero adicional. Al considerar a quién designar como representante de las IPO, el CCG analizó los requisitos que habrían deseado ver en dicho representante (por ejemplo, un mejor equilibrio regional y de género, un conjunto específico de habilidades), pero finalmente optaron por aceptar la nominación presentada por las OPI, ya que se había hecho de forma colectiva y había sido aceptada por los 17 Miembros de las OPI. El CCG señaló que en el futuro convendría contar con un proceso definido para la implementación del artículo 38(f), incluyendo, por ejemplo, que los CV de los candidatos se recibieran con antelación para que fueran evaluados por el Consejo a la luz de los requisitos establecidos de antemano por el Consejo. El CCG expresó su deseo de señalar que esta acción no debe considerarse como un precedente, y que es necesario enviar una carta a las OPI informándoles al respecto.

Durante la discusión, se señaló el siguiente punto:

- Un miembro del Consejo informó al Consejo que hay una tendencia creciente en otros organismos internacionales a integrar diferentes grupos. Si bien esto podría considerarse positivo, podría no obstante volverse bastante complejo y acarrear implicaciones adicionales para el derecho internacional ya que están involucrados actores no estatales. Sin embargo, dado que la UICN no es una organización internacional y está integrada por Estados y ONG Miembros, la UICN es la organización mejor posicionada para aceptar un representante de las OPI como miembro del Consejo. Considerando el riesgo de que tales "plazas especiales" proliferen a petición de otras partes interesadas, era prudente dejar constancia de que esta decisión no sienta un precedente.

DECISIÓN DEL CONSEJO C/94/20
El Consejo de la UICN,
por recomendación de su Comité de Constituyentes y Gobernanza (CCG),
solicita al CCG que formule una propuesta para que el Consejo pueda ejercer los derechos que le asisten en virtud del artículo 38(f) y que pueda aprovechar al máximo la oportunidad creada por el artículo 38(f);
solicita a la Directora General y a las Comisiones que velen por que el CCG participe en los asuntos relacionados con los constituyentes;
nombra al Sr. Francisco Ramiro Batzin Chojoj (Guatemala) como Consejero adicional de conformidad con el artículo 38(f) de los Estatutos.

Seguidamente, Jennifer Mohamed-Katerere informó a los Consejeros que el CCG también había aceptado el Manual del Consejo junto con tres instrumentos relacionados con la actuación, como se consigna en el informe escrito, y que les gustaría invitar a los Consejeros a una ceremonia para firmar el Compromiso de actuación, organizada por Luc De Wever, Secretario del Consejo, al final de la reunión del Consejo.

Antes de que el Presidente de la UICN invitara al Consejo a aprobar el Informe del CCG al Consejo, Luc De Wever, Secretario del Consejo, informó al Consejo de una modificación que el Presidente deseaba hacer en el Compromiso de actuación cuya adopción ha sido recomendada por el CCG como parte de su Informe al Consejo. Sugirió la adición de un párrafo (d) en la sección 1: los Consejeros se comprometen a: (1) participar plenamente en el trabajo del Consejo: ... (d) colaborando en la función del Consejo para establecer una orientación estratégica y ejercer la supervisión de la UICN que me ha sido asignada por los Miembros de la UICN según lo dispuesto en los Estatutos y el Reglamento. El Consejo aceptó esta modificación.

Formulario de Declaración de Conflicto de Intereses y la correspondiente modificación al Código de Conducta
[documento del Consejo C/94/8.1 Recomendaciones del Comité de Ética del Consejo]
Dado que el Consejo acaba de adoptar la decisión relacionada con el Manual del Consejo, el Presidente presentó el tema del Formulario de Declaración de Conflicto de Intereses recomendado por el Comité de Ética según lo previsto en el Código de Conducta de los Consejeros de la UICN y las correspondientes modificaciones al Código de Conducta, y propuso que se agregara al orden del día del Consejo en el punto 8 Otros asuntos. Norbert Baerlocher, Consejero de Suiza, informó al Consejo que bajo la ley suiza una asociación no puede tomar ninguna decisión sobre los puntos incluidos en el orden del día bajo "Otros asuntos". La Asesora Jurídica de la UICN señaló que el Consejo podría decidir agregarlo como un nuevo punto en el orden del día, si había consenso para hacerlo, al tiempo que llamaba la atención sobre el artículo 54 del Reglamento que establece que una decisión tomada sobre una cuestión que no figure en el proyecto de orden del día podría ser impugnada después. El Presidente reanudaría el tema nuevamente después de las consultas.

Informe escrito del CCG al Consejo *[documento del Consejo C/94/7.2 Informe del CCG al Consejo]*
Por invitación del Presidente, el Consejo aprobó el informe del CCG al Consejo. *[Nota: incluidas las decisiones del Consejo recomendadas por el CCG que no fueron discutidas en el Consejo, pero que fueron aprobadas junto con el Informe de acuerdo con el artículo 59 del Reglamento. Estas decisiones se enumeran a continuación para efectos de presentar un registro completo de las decisiones del Consejo].*

DECISIÓN DEL CONSEJO C/94/12
El Consejo de la UICN,
por recomendación de su Comité de Constituyentes y Gobernanza (CCG),
aprueba la admisión de 11 organizaciones y/o instituciones como Miembros de la UICN; **(Anexo 6)**
aplaza la admisión de Association Française des Entreprises pour l'Environnement (Francia) – EPE, hasta que la Secretaría haya llevado a cabo un proceso de diligencia debida y haya obtenido información adicional;
solicita a la Secretaría que emprenda un proceso de diligencia debida y solicite información adicional a esta organización con relación a su trabajo ambiental y los criterios para hacerse miembro de dicha organización;
rechaza la admisión de Tajijin (AITA Foundation) partiendo de la base de que su trayectoria en el ámbito de la conservación es insuficiente. Se invita a AITA Foundation a volver a presentar una solicitud en tres años cuando puedan aportar más pruebas de su trayectoria.

DECISIÓN DEL CONSEJO C/94/13
El Consejo de la UICN,
por recomendación de su Comité de Constituyentes y Gobernanza,
apoya la actualización del proceso de solicitud de admisión y revisión y el debido proceso, tal como se detalla en el **Anexo 7.** La actualización del proceso incluye pero no se limita al hecho de que todas las solicitudes, independientemente de la opinión de la Secretaría acerca de si cumplen o no con los requisitos legales[1], se distribuirán a:
i. los Miembros para que puedan expresar su opinión con respecto a las solicitudes;
ii. los Consejeros Regionales y Comités Nacionales o Regionales para comentarios.

[1] La excepción se aplica a los casos en los que el solicitante no cumple con uno o más de los requisitos previstos en los artículos 4-6 del Reglamento (por ej., 3 años de existencia, sin fines de lucro, una junta directiva independiente). En tales casos, quedará a discreción de la Secretaría si somete o no las solicitudes a la consideración de los Miembros.

COUNCIL DECISION C/94/14
El Consejo de la UICN,
por recomendación de su Comité de Constituyentes y Gobernanza (CCG),

1. aprueba la solicitud de un Miembro de la UICN para cambiar su categoría de Miembro de la siguiente manera: The Helsinki Zoo Foundation, de afiliado a ONG;

2. toma nota del cambio de nombre de las siguientes cuatro organizaciones Miembro de la UICN:

País	Nombre anterior	Nuevo nombre
Guatemala	Centro para la Investigación y Planificación del Desarrollo Maya SOTZ`IL	**Asociación SOTZ'IL**
Finlandia	Helsinki Zoo	**Helsinki Zoo Foundation**
EE. UU.	Consultative Group on Biological Diversity	**Biodiversity Funders Group**
Pakistán	National Rural Development Program	**Rural Aid Pakistan**

DECISIÓN DEL CONSEJO C/94/15
El Consejo de la UICN,
por recomendación de su Comité de Constituyentes y Gobernanza (CCG),
aprueba el reconocimiento del Comité Nacional de Miembros de la UICN en Belice.

DECISIÓN DEL CONSEJO C/94/16
El Consejo de la UICN,
por recomendación del Comité de Constituyentes y Gobernanza (CCG),
toma nota de los nuevos Estatutos del Comité Nacional de Miembros de la UICN en Paraguay.

DECISIÓN DEL CONSEJO C/94/17
El Consejo de la UICN,
por recomendación de su Comité de Constituyentes y Gobernanza (CCG),
aprueba los Términos de Referencia para el Grupo de trabajo sobre WCC-2016-Res-003 **(Anexo 8)** así como el proceso para la designación de los miembros del Grupo de trabajo presentado en el documento C/94/GGC13/1.2 rev del Consejo.

DECISIÓN DEL CONSEJO C/94/18
El Consejo de la UICN,
por recomendación de su Comité de Constituyentes y Gobernanza (CCG),
aprueba los Términos de Referencia para la revisión externa de la gobernanza de la UICN. **(Anexo 9)**

DECISIÓN DEL CONSEJO C/94/19
El Consejo de la UICN,
por recomendación de su Comité de Constituyentes y Gobernanza (CCG),
aprueba que los siguientes documentos se adjunten al Manual del Consejo[2]:
- el Compromiso de Desempeño de los Consejeros de la UICN;
- el Informe de actividades de los Consejeros de la UICN, y
- la Autoevaluación de los miembros del Consejo de la UICN y Evaluación de las reuniones del Consejo de la UICN;
aprueba la versión actualizada del Manual del Consejo (Documento C/93/8 de fecha 17 de noviembre de 2017, Anexo 1) según lo previsto en el artículo 48*bis* del Reglamento. **(Anexo 10)**

7.3 Informe del Comité de Programa y Políticas (CPP) *[documento del Consejo C/94/7.3 Informe del CPP al Consejo]*

[A solicitud del Presidente, la Vicepresidenta Ana Tiraa presidió la sesión para los puntos 7.3 y 8 del orden del día]

Jan Olov Westerberg, Presidente del CPP, explicó que el CPP está orientando su trabajo hacia un enfoque basado en dos vertientes. La primera consiste en analizar la implementación del Programa actual, verificar lo que se ha logrado y ejercer la supervisión encomendada al Comité. El CPP examinó los requisitos de información del Programa, que es un esfuerzo continuo. Se señaló con agrado que el Portal de programas y proyectos permitirá que haya más y mejor información disponible. Sin querer entrar en todos los detalles sobre los excelentes informes examinados por el comité, sí hizo mención a la tremenda cantidad de trabajo que implica el seguimiento de la Resolución 001 del Congreso Mundial 2016. Hay más de 1300 Resoluciones desde el comienzo de la UICN, y muchas de ellas o bien son obsoletas y deben ser retiradas o el trabajo ha sido completado. Este trabajo de seguimiento será informado al próximo Congreso Mundial.

La segunda vertiente consiste en comenzar a prepararse para el nuevo Programa, y el Presidente informó al Consejo que tras intercambiar impresiones con la Directora General, el CPP desea adoptar un enfoque diferente para el Programa 2021-24 de la UICN. La estructura actual de Un solo Programa ha sido utilizada para los períodos entre sesiones de los dos últimos Congresos, pero el mundo es ahora un lugar diferente. Para crear un nuevo Programa amplio, inspirador y con visión de futuro, era necesario añadir otro paso en torno a cómo construir el nuevo Programa, incluyendo cómo integrar los ODS y alinearlo con las perspectivas posteriores a 2020 antes de elaborar el primer borrador del nuevo Programa. El CPP estudiará cómo hacer esto e involucrar a los Miembros en el proceso desde el inicio. El cronograma para crear un nuevo

[2] Estos documentos están disponibles como anexos 5, 6 y 7 al Manual del Consejo (Anexo 10 que se adjunta).

Programa es de unos 21 meses, y el comité considera que convendría involucrar a los Miembros antes de los Foros Regionales de la Conservación. El borrador del Programa estará disponible alrededor de mayo de 2019.

Seguidamente, el Presidente del CPP introdujo dos decisiones presentadas por el CPP al Consejo para su aprobación, una sobre el Instituto Judicial Mundial para el Medio Ambiente y la otra sobre Brasilia Declaración de Jueces sobre Justicia Hídrica.

Durante la discusión subsiguiente en torno al proyecto de decisión sobre Brasilia Declaración de Jueces sobre Justicia Hídrica, se formuló una advertencia en cuanto a si el Consejo, en lugar del Congreso, adoptaba una orientación política sobre la cual los Miembros de la UICN, en particular los Estados Miembros, pudieran tener opiniones fuertes. Por otro lado, como la Declaración representaba muchas cosas que la UICN ya estaba promoviendo, incluida la justicia del agua, la UICN debería promover esta iniciativa en lugar de destacarla. Para lograr un equilibrio, el Consejo hizo una modificación para que al final se lea: "... dar a conocer la Declaración". Denise Antolini, Presidenta Adjunta de la CMDA, señaló que la Declaración contenía una cláusula de exención de responsabilidad. Este no es un texto negociado, sino una articulación de principios por parte de los jueces, ninguno de los cuales representa a sus países o instituciones; una forma de articular una conversación entre muchos jueces, países y sistemas jurídicos diferentes. No es vinculante y, de hecho, se basa en el derecho blando y aspiracional. También es el producto distintivo del Instituto Judicial Mundial para el Medio Ambiente, una iniciativa de la CMDA que exigió un trabajo intenso.

DECISIÓN DEL CONSEJO C/94/7
El Consejo,
por recomendación de su Comité de Programa y Políticas (CPP),
acoge y apoya la propuesta de la Comisión Mundial de Derecho Ambiental (CMDA) para el establecimiento de un Instituto mundial de fiscales para la protección del medio ambiente; y exhorta a todas las partes constituyentes de la Unión, incluidos los Miembros de la UICN, a contribuir al desarrollo del Instituto y a trabajar con la CMDA y sus socios en la implementación de esta iniciativa.

DECISIÓN DEL CONSEJO C/94/8
El Consejo,
por recomendación del Comité de Programa y Políticas (CPP),
acoge y apoya la recomendación de la Comisión Mundial de Derecho Ambiental (CMDA) para apoyar la Declaración de Brasilia formulada por jueces que favorecen la justicia de las aguas (Declaración de 10 principios) adoptada en el 8º Foro Mundial del Agua que tuvo lugar en Brasilia (Brasil) el 21 de marzo de 2018; y
exhorta a todas las partes constituyentes de la Unión, incluyendo los Miembros de la UICN, a dar a conocer dicha Declaración.

DECISIÓN DEL CONSEJO C/94/22
El Consejo de la UICN,
por recomendación de los comités permanentes del Consejo,
aprueba los informes escritos de los comités permanentes del Consejo de la UICN[3], revisados según sea el caso durante la reunión del Consejo:
1. Comité de Constituyentes y Gobernanza (**Anexo 11**);
2. Comité de Programa y Políticas (**Anexo 12**); y
3. Comité de Finanzas y Auditoría (**Anexo 13**).

5.2 Objetivos estratégicos y prioridades del Consejo para 2017-20 (continuación) *[Diapositivas disponibles como documentos del Consejo C/94/5.2a PPT Propuesta de valor revisada de la UICN]*

Luego de un acuerdo previo en la reunión para discutir la propuesta de valor de la UICN bajo el punto 5.2 del orden del día, Peter Cochrane presentó al Consejo una nueva versión de la propuesta de valor de la UICN en la que abordó los temas de gobernanza, comunidades de práctica y desarrollo sostenible planteados durante la primera discusión de este tema. Recordó al Consejo que esta declaración se refiere al valor de la UICN para los Miembros. No se presentó para aprobación, sino para que simplemente se tuviera en cuenta al redactar la nueva Estrategia de Membresía. Se hizo la observación de que el Consejo debería dar cierto margen al Grupo para el Fortalecimiento de la Unión para hacer ediciones menores del texto, siempre que se mantenga el espíritu del texto. La Directora General elogió la declaración como un buen ejemplo de los puntos de vista progresistas del Consejo con respecto a la Unión y agradeció a Peter Cochrane.

Punto 8 del orden del día. Otros asuntos

Formulario de Declaración de Conflicto de Intereses y la correspondiente modificación al Código de Conducta (continuación) *[documento del Consejo C/94/8.1 Recomendaciones del Comité de Ética del Consejo]*

Reanudando la discusión sobre las recomendaciones emanadas del Comité de Ética, Luc De Wever, Secretario del Consejo, aportó un poco de historia sobre el tema. El Código de Conducta de la UICN requiere que los Consejeros firmen

[3] Las decisiones del Consejo presentadas en los informes escritos de los comités permanentes que fueron aprobados por el Consejo se enumeran por separado en el presente documento.

cada año un Formulario de Declaración de Conflicto de Intereses. Este formulario fue preparado por el Comité de Ética para la reunión del Consejo de noviembre de 2017 y distribuido en ese momento a los Consejeros como anexo al Código de Conducta, que a su vez es un anexo al Manual del Consejo, para su discusión bajo el punto 8 del orden del día del Consejo –Manual del Consejo. Luego de la discusión en la reunión de noviembre, el Presidente anunció que los instrumentos de actuación, incluido el formulario de declaración, requerían mayor elaboración ya que la Junta Directiva había solicitado al CCG que estudiara si el Compromiso de actuación podría fusionarse con el Formulario de Declaración de Conflicto de Intereses y la discusión de la versión final se pospondría hasta la próxima reunión del Consejo. Se anticipó que el formulario sobre revelación y la modificación al Código de Conducta se presentarían para su aprobación como parte de la versión revisada del Manual del Consejo y, por lo tanto, se incluirían en el punto 1.4 del orden del día de la 94ª reunión del Consejo. Sin embargo, el CCG examinó el Manual del Consejo en su reunión del 30 de abril de 2018 y aprobó el Compromiso de actuación como documento independiente, separándolo del formulario sobre revelación. Además, el 1 de mayo de 2018, el Comité de Ética presentó una versión revisada del Formulario de Declaración de Conflicto de Intereses y la modificación relacionada con el Código de Conducta. El Consejo aprobó el día de hoy el Manual del Consejo con los instrumentos de actuación, dejando que el formulario sobre revelación y la modificación al Código de Conducta sean discutidos como un nuevo punto.

El Secretario del Consejo continuó explicando que más temprano en la reunión, el Presidente había sugerido considerar el asunto bajo el punto 8 del orden del día. Otros asuntos. Sin embargo, se planteó una cuestión de procedimiento según la cual en la legislación suiza una asociación no puede tomar decisiones sobre los puntos incluidos en el orden del día bajo "Otros asuntos". Con base en una sugerencia de la Asesora Jurídica, el Secretario del Consejo propuso al Consejo agregar un nuevo punto en el orden del día.

El Consejero de la UICN de Suiza, Norbert Baerlocher, informó al Consejo que la ley suiza estipula que solo bajo condiciones específicas se puede hacer cambios en un orden del día y que estas condiciones deben estar claramente establecidas en los Estatutos de la asociación. Sin embargo, el artículo 54 del Reglamento permite que se hagan cambios al "proyecto de orden del día". Una vez que se aprueba el orden del día, ya no se puede cambiar y se vuelve vinculante, lo que garantiza que todas las partes interesadas puedan ser incluidas en las discusiones. Es por ello que él se opondría a la decisión de aprobar un nuevo punto del orden del día o agregarlo bajo "Otros asuntos". Empero, teniendo en cuenta el hecho de que estos documentos se habían distribuido previamente a todos los miembros del Consejo que esperaban que se tomara una decisión en esta reunión del Consejo, Norbert Baerlocher no se opondría a tomar una decisión sobre el asunto bajo otro punto que ya figuraba en el orden del día.

A la sugerencia de considerar este asunto bajo el punto 7.2 Informe del CCG al Consejo que había recomendado la aprobación del Manual del Consejo, la Presidenta del CCG formuló una objeción ya que el CCG no vio las modificaciones realizadas por el Comité de Ética al formulario sobre revelación y al Código de Conducta, por lo que no podría ser atribuido al CCG, especialmente por cuanto el Informe del CCG ya había sido aprobado por el Consejo. Con base en el hecho de que este asunto no es urgente, la Vicepresidenta Ana Tiraa, actuando como Presidenta, propuso y el Consejo acordó que este asunto se pospusiera hasta la próxima reunión del Consejo.

8.1 Jonathan Hughes aprovechó esta oportunidad para presentar al Consejo un breve informe sobre el Grupo de tareas sobre zonas urbanas, que tuvo una excelente reunión. En casi todas las discusiones del Consejo, ha surgido el tema de las zonas urbanas y la rápida urbanización, lo que demuestra el impulso creciente detrás del trabajo de la UICN que ocupará un lugar predominante en el ámbito del desarrollo urbano y la naturaleza en los próximos años. La provisión de fondos iniciales debería permitir el desarrollo de la Alianza Urbana, que conducirá a trabajar en un nuevo producto del conocimiento sobre la salud de los ecosistemas urbanos, además de muchas otras iniciativas. El grupo de tareas desea hacer una solicitud específica para que el programa urbano ocupe un lugar destacado en el próximo Congreso Mundial, tal vez en forma de un pabellón que señale al mundo el carácter prioritario que la UICN asigna al desarrollo urbano.

8.2 Tomando nota de la fructífera discusión en los últimos dos días, incluidas las decisiones sobre el país anfitrión y la sede para el próximo Congreso Mundial, Malik Amin Aslam Khan, Vicepresidente, recomendó cautela con relación a la fecha. La decisión sobre la fecha se basó en parte en la intención del Gobierno francés de convocar una reunión de líderes de alto nivel, e instó al Presidente y a la Directora General de la UICN a asegurarse de que Francia haga todo lo posible para organizar este diálogo de alto nivel. Se refirió a las oportunidades desaprovechadas en el pasado. La Directora General coincidió con el punto anterior e informó que, si bien esto ya había sido planteado al Ministro, lo haría nuevamente. Señaló, sin embargo, que la UICN debía saber que los Jefes de Estado asistían a eventos como el Congreso para hablar con otros Jefes de Estado y que este hecho debía tenerse en cuenta al organizar el evento. Continuó retando a la UICN y al país anfitrión, así como al Alcalde de Marsella, a pensar desde varias perspectivas y hacer uso de las muchas cosas interesantes que podían hacerse.

8.3 El Presidente informó al Consejo que, tal como lo exigen los Estatutos, la Directora General debe ser objeto de una evaluación anual del desempeño que consiste en una retroalimentación anónima de 360 grados a través de una organización externa independiente y la autoevaluación de la DG. Las reformas emprendidas desde la última reunión del Consejo ahora exigen que los cuatro Vicepresidentes, además del Presidente, participen en esta

evaluación. El primer formulario de evaluación enviado poco antes de esta reunión del Consejo generó algunas críticas por parte de los miembros del Consejo, los Presidentes de las Comisiones y los miembros del Equipo directivo de la DG. Teniendo en cuenta sus recomendaciones, estos problemas ya han sido resueltos, y una nueva versión revisada de la evaluación de 2016-2017 había sido redactada y aceptada por el Presidente y los Vicepresidentes. Se acordaron varios puntos como resultado de lo planteado. En primer lugar, las evaluaciones de desempeño deben hacerse de manera oportuna. En segundo lugar, las evaluaciones se mantendrán en el anonimato y, para ello, se utilizarán herramientas adecuadas para conservar la confidencialidad, y solo el Presidente tendrá acceso a los comentarios individuales. En tercer lugar, a partir de 2019 habrá fondos asignados en el presupuesto para contratar a una organización externa independiente para realizar las evaluaciones de desempeño. El Presidente informó al Consejo que los cuatro Vicepresidentes deseaban subrayar lo siguiente: 1) la Directora General está totalmente de acuerdo con la evaluación que está llevando a cabo el órgano rector; (2) este fue un esfuerzo colectivo de todos los Vicepresidentes; y (3) agradecen el tiempo que durante la noche invirtieron quienes volvieron a redactar el documento.

Firma del Compromiso de actuación por los Consejeros de la UICN

El Presidente de la UICN invitó a los Consejeros a firmar el Compromiso de actuación de los Consejeros, como lo mencionara anteriormente la Presidenta del CCG. Primero reconoció el extenso trabajo realizado por el CCG y el subcomité presidido por Tamar Pataridze a quien le pidió que leyera el documento en su totalidad. A los Consejeros se les pidió que firmaran una copia impresa.

Las observaciones finales del Presidente de la UICN

El Presidente de la UICN expresó primero su agradecimiento a los miembros del Consejo, Presidentes de las Comisiones, Grupos de tareas y Comités Permanentes, y sus cuatro Vicepresidentes, y luego agradeció a la Directora General y a la Secretaría por preparar la logística requerida para hacer de esta una reunión eficiente. Se han tomado muchas decisiones importantes, entre ellas la decisión sobre el país anfitrión, la ciudad y la fecha del Congreso Mundial 2020. Hizo hincapié en que el Consejo es responsable ante los Miembros por la celebración del 70º aniversario, demostrando que la UICN es el gran líder del movimiento ambientalista. El Presidente exhortó asimismo a todos los miembros del Consejo y sus diversos comités a trabajar en estrecha colaboración con las Comisiones, la Secretaría, el país/ciudad anfitrión y todos los asociados internacionales de la UICN para que el Congreso Mundial 2020 sea todo un éxito.

La reunión se dio por finalizada.

Preparado por Luc De Wever, Secretario del Consejo

Annex A

Council members present at the 94th Council meeting
(29 April – 2 May 2018)

PRESIDENT
Mr ZHANG Xinsheng, China

TREASURER
Mr Nihal Welikala, Sri Lanka/UK

REGIONAL COUNCILLORS

Africa
Mr Mamadou Diallo, Senegal
Ms Jesca Eriyo Osuna, Uganda
Mr Ali Kaka, Kenya
Ms Jennifer Mohamed-Katerere, South Africa

Meso and South America
Mr Marco Vinicio Cerezo Blandon, Guatemala
Ms Jenny Gruenberger, Bolivia
Mr Lider Sucre, Panamá

North America and the Caribbean
Mr Rick Bates, Canada
Mr Sixto J. Inchaustegui, Dominican Republic
Mr John Robinson, USA

South and East Asia
Mr Malik Amin Aslam Khan, Pakistan
Mr Amran Hamzah, Malaysia
Mr Masahiko Horie, Japan
Mr Mangal Man Shakya, Nepal
Mr Youngbae Suh, Republic of Korea

West Asia
Mr Said Ahmad Damhoureyeh, Jordan
Mr Ayman Rabi, Palestine

Oceania
Mr Andrew Bignell, New Zealand
Mr Peter Michael Cochrane, Australia
Ms Anna Elizabeth Tiraa, Cook Islands

East Europe, North and Central Asia
Ms Tamar Pataridze, Georgia

West Europe
Ms Hilde Eggermont, Belgium
Mr Jonathan Hughes, United Kingdom
Mr Jan Olov Westerberg, Sweden

COMMISSION CHAIRS

Commission on Ecosystem Management
Ms Angela Andrade, Colombia

Commission on Education and Communication
Mr Sean Southey, Canada/South Africa

Commission on Environmental, Economic and Social Policy
Ms Kristen Walker Painemilla, USA (29-30 April)
Ms Ameyali Ramos, Deputy Chair (1-2 May)

Species Survival Commission
Mr Jon Paul Rodriguez, Venezuela

World Commission on Environmental Law
Mr Antonio Herman Benjamin, Brazil (29 April – 1 May)
Ms Denise Antolini, Deputy Chair (1-2 May)

World Commission on Protected Areas
Ms Kathy MacKinnon, United Kingdom

COUNCILLOR FROM THE STATE IN WHICH IUCN HAS ITS SEAT
Mr Norbert Baerlocher, Switzerland

DIRECTOR GENERAL
Ms Inger Andersen

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

Agenda approved by Council
(v6.1 dated 30 April 2018)

For information: preliminary and other meetings (all meetings will be held at the Secretariat HQ unless indicated otherwise)	
Bureau of the Council	28 April 09:00-17:00
Chairs of the Commissions	27 April 18:00-19:00
President, DG & Commission Chairs (annual evaluation)	27 April 18:00-19:00
Private Sector Task Force	29 April 13:30-15:30
Urban Task Force	29 April 15:30-17:30
Climate Change Task Force	**28** April 10:00-12:00
Pre-Working Group on WCC-2016-Res-003	29 April 13:30-15:30
GCC Task Force on the motions process	29 April 15:30-17:30
GCC Task Force Council Handbook performance tools	29 April 12:30-13:30 + 17:30-18:30

Note: the membership of the standing committees, Bureau, task forces and working groups is presented in the chart of "Subsidiary bodies of the IUCN Council 2016-20".

Sunday, 29 April 2018 AM and Monday 30 April 2018
(Location: Secretariat HQ)

Time	Agenda Item/Content[1]	Documents
	Meetings of the standing committees of the IUCN Council *The agendas of the committees constitute an integral part of the Council agenda.* *Sunday afternoon 29 April will be reserved for meetings of task forces and other groups established by the committees.*	
29 Apr 9:00-12:30 + 30 Apr 9:00-12:30 & 14:00-18:00	**Programme and Policy Committee (PPC) (43rd meeting)** *(Red List A)*	Agenda with timing
	1. IUCN Annual Report 2017 *(Incl. implementation of the IUCN Programme by the Secretariat and the Commissions)*	C/94/PPC43/1 rev2
	2. Specific Programme and Policy issues	
	2.1 Update on the implementation of 2016 Congress Resolutions and Recommendations 2.2 Update on the post-2020 global biodiversity framework 2.3 Update on IPBES-IUCN partnership 2.4 Update of IUCN's Policy on Gender Equality	C/94/PPC43/2.1
	3. Follow-up on assignments	
	4. Reports from Task Forces established by the PPC	
	5. Council's Global Oceans Focal Person: draft terms of reference and report by Peter Cochrane	C/94/PPC43/5
	6. Other issues announced in advance 6.1 Discussion of a roadmap for the development of the IUCN Programme 2021-24 6.2 Global Institute of Prosecutors for the Environment 6.3 Brasilia Declaration of Judges on Water Justice	

[1] Color code: Strategic direction Oversight Fiduciary responsibilities and accountability

29 Apr 9:00-12:30 + 30 Apr 9:00-12:30 & 14:00-18:00	**Finance and Audit Committee (FAC) (64th meeting)** *(Think Tank)*	*See footnote*[2]
		Agenda with timing
	1. Welcome and approval of the agenda	
	2. Review the minutes of the previous meeting and check the follow up points and decisions taken and where they stand	
	3. Report from the Head of Oversight	
	4. Risk management – review and approval of the Enterprise Risk Management Policy	C/94/FAC64/4/1 C/94/FAC64/4/2
	5. Report from the Legal Adviser	
	6. Report of the Sub-Committee on Council travel	C/94/FAC64/6
	7. Review and approval of the audited financial statements for 2017 • Review of results • Report of the auditors • Approval of financial statements	C/94/FAC64/7a C/94/FAC64/7b (PwC) C/94/FAC64/7c (PwC)
	8. Investment update and portfolio performance	C/94/FAC64/8
	9. Financial results for Q1 and outlook for the year	C/94/FAC64/9
	10. Resource mobilisation update	C/94/FAC64/10
	11. Membership Dues	
	12. Global Data Protection Regulation	
	13. Update on information systems projects	C/94/FAC64/13
	14. Update on the review of the HR staff rules	
	15. Financial planning post-2020	
	16. Any other business	
29 Apr 9:00-12:30 + 30 Apr 9:00-12:30 & 14:00-18:00	**Governance and Constituency Committee (GCC) (13th meeting)** *(Red List B)*	Agenda with timing
	1. <u>Governance issues</u>:	
	1.1 Amendments to the Statutes, Rules and Regulations resulting from the Bureau's working group *including a proposal to amend Regulation 45bis (IUCN Council Global Focal Persons) - subject to review by the Bureau*	
	1.2 Update on the implementation of Resolution WCC-2016-Res-003 – *Including regional governments in the structure of the Union*	C/94/GCC13/1.2 rev1 C/94/GCC13/1.2/2 (Summary document)
	1.3 Review of IUCN's Governance	C/94/GCC13/1.3
	1.4 Council Handbook *(consideration of Performance Tools and approval of the Handbook)*	C/94/GCC13/1.4 C/94/GCC13/1.4/2
	1.5 Proposal from IUCN Indigenous Peoples' Organizations for the appointment of an additional appointed Councillor under Article 38 (f) of the IUCN Statutes	C/94/GCC13/1.5
	2. <u>Constituency issues</u>:	
	2.1 Membership applications, incl. 2.1.1 Update on e-vote on IFAW 2.1.2 Membership applications review process [3]	C/94/GCC13/2.1 C/94/GCC13/2.1.2
	2.2 Members' name or category changes	C/94/GCC13/2.2

[2] All documents of the FAC are available to all Council members with the exception of the Report of the Head of Oversight and the Report of the Legal Adviser which are only distributed to the FAC members.

[3] Continuation of the discussion held in GCC during the 93rd Council meeting, on the basis of the document prepared in November 2017.

	2.3 Update on the Membership Strategy	
	2.4 National/Regional Committees, incl.	
	2.4.1 Recognition of the National Committee of Belize	C/94/GCC13/2.4.1
	2.4.2 Revised Bylaws of the Paraguay National Committee and the Caribbean Regional Committee	C/94/GCC13/2.4.2 C/94/GCC13/2.4.2 Annex 1 in Word
	2.4.3 Update from the Global Group on National/Regional Committee development (WCC-2016-Res-002)	C/94/GCC13/2.4.3
	2.4.4 Paper on the establishment of Interregional Committees	C/94/GCC13/2.4.4
	2.4.5 Commissions' rights within National/Regional Committees	
	2.5 Membership dues	
	2.5.1 Update on Members whose rights were rescinded by the 2016 Congress and Members whose rights will be rescinded by e-vote in 2018	
	2.5.2 Dues re-assessment process for NGOs	
	2.6 Issues regarding the membership admission criteria for International NGOs	
	2.7 GCC work plan (if not finalised prior to Council)	C/94/GCC13/2.7
	3. World Conservation Congress	
	3.1 Date and place of the 2020 IUCN World Conservation Congress	C/94/GCC13/3.1 (confidential) Appendices 1 (confidential) Appendices 2 (confidential)
	3.2 Update on the implementation of the Guidelines for Sponsored Delegates at the 2016 Congress	
	3.3 Update of the motions process	C/94/GCC13/3.3
	3.4 2020 Congress Preparatory Committee: TOR & process for nominations	C/94/GCC13/3.4
	4. Any other business	

Monday evening 30 April 2018

(Main room)

18:30-20:30	**Dinner of the Council members with the right to vote**

Tuesday, 1 May 2018

(Location: Main Room)

9:00-9:15	**Agenda Item 1:** **The President's opening remarks and approval of the agenda**	C/94/1 (present agenda) C/94/1/2 (comments IUCN Members)
9:15-9:30	**Agenda Item 2:** **Report of the President and matters brought forward by the Bureau** *(unless included under other relevant items of the present agenda)*	C/94/2 (DEC B/74/1)
9:30-11:00	**Agenda Item 3:** **Report of the Director General**	
11:00-12:30	**Agenda Item 7.2:** **Report of the Governance and Constituency Committee (GCC): Date and place of the 2020 IUCN World Conservation Congress** (Item 3.1 on the agenda of GCC13)	

12:30-14:00	**Lunch**	
14:00 14:00-15:30 15:30-16:30	**Agenda Item 4:** **<u>Annual Council session on the performance of the Commissions</u>** **4.1 Presentations by the six IUCN Commission Chairs on the activities of their Commissions** *Complementing the written reports of the Commissions incorporated in the document "IUCN Annual Report 2017" which will be discussed under PPC agenda item 1. Each Chair presents for 15' followed by Q&A.* **4.2 Discussion on the performance of the Commissions** [4] *This is the first time since Council decision C/88/7 (2016) that such a session is held based on the results of the Commissions' first full year of activity since the 2016 Congress (Cf. document "IUCN Annual Report 2017").*	
16:30-18:30	**Agenda Item 5:** **<u>Strategic discussion</u>** **5.1 Enterprise Risk Management** • Approval of the Enterprise Risk Management policy, taking into account the recommendations of the FAC *(cf. FAC agenda item 4)* • Approval of Risk Appetite Statement **5.2 Council's strategic objectives and priorities 2017-20** • Recommendations of a Council working group *(to be established as agreed during the 93rd Council meeting)* **5.3 Improving IUCN's governance** • Update from the Bureau's working group to identify areas for improving IUCN's governance • Recommendations of the GCC on amendments to the Statutes, Rules and Regulations *(cf. GCC agenda item 1.1)*	 See C/94/FAC64/4/1 See C/94/FAC64/4/2 C/94/5.3
18:30-20:30	**Agenda Item 6:** **<u>Council's working dinner with the Director General</u>** *(Location: Think Tank)*	

Wednesday, 2 May 2018

(Location: Main Room)

Time	Agenda Item	Document/Content
9:00 9:00-11:00	**Agenda Item 7:** **<u>Reports of the standing committees of the Council</u>** **7.1 Report of the Finance and Audit Committee (FAC)** [5]	 C/94/7.1

[4] As part of the "Enhanced practices and reforms of IUCN's governance" approved by Council in April 2016 (decision C/88/7), Council:

- modified the Regulations to clarify that between sessions of the Congress the Commissions report to the Council through the Commission Chairs;
- enhanced its oversight of the work of the Commissions through strengthened annual performance reporting by the Chairs to the Council on outputs, outcomes, impact and resources raised against the Commission´s work plan approved at the beginning of each term. This is to be integrated into the overall Union monitoring and reporting framework. [next page]
- decided to conduct once a year a session of Council, with the Director General, to discuss the performance of the Commissions.

[5] Continuing a practice from the previous term, the order in which committees present their reports rotates at each meeting (C92: PPC, FAC, GCC; C93: GCC, PPC, FAC).

11:00-12:30	**7.2 Report of the Governance and Constituency Committee (GCC)**	C/94/7.2
12:30-14:00	**Lunch Presentation of Regional and Global Programs** by: • Cyrie Sendashonga, PhD, Global Director, Policy and Programme Group • Dr Frank Hawkins, Director, IUCN North America Office *Continuing the longstanding practice of Regional and/or a Global Thematic Directors presenting their work priorities, achievements and challenges with the purpose of enabling Council members to familiarize themselves with the decentralized Secretariat.* *(Lunch buffet served in Red List A & B)*	
14:00-16:00	**Agenda Item 7 (continued):** **Reports of the standing committees of the Council** **7.3 Report of the Programme and Policy Committee (PPC)**	C/94/7.3
16:00-18:00	**Agenda Item 8:** **Any other business**	

Policy on Enterprise Risk Management

Version 2.0 April 2018

Approved by the IUCN Council at its 94th meeting (May 2018), Decision C/94/4

Code Version Control and History: Policy on Enterprise Risk Management

Title	Policy on Enterprise Risk Management
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Published in French under the title	-
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Responsible Unit	Planning, Monitoring, Evaluation and Risk Management Unit (PMER)
Developed by	Office of the Director General
Subject (Taxonomy)	Policy
Date approved	1 May 2018
Approved by	Council
Applicable to	IUCN Secretariat
Purpose	The IUCN Policy on Enterprise Risk Management outlines the principles of the internationally recognised risk management systems as applicable to IUCN.
Related Documents	IUCN Policy on Internal Control [forthcoming] IUCN Guide to Internal Control Risk Control Self-Assessment Checklists
Distribution	Sent to all staff members world-wide, available on the IUCN Union Portal (intranet), provided for information to all partner organisations and suppliers with contracts with IUCN, and available on request.

Document History

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1. Introduction

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

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

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

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

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

The purpose of this policy[2] is to:

- incorporate a common and consistent approach to risk management into the culture and strategic planning processes of the organisation that supports decision making and resource allocation.
- apply a consistent approach to risk management to support the Union's governance responsibilities for setting strategic direction and policy guidance, providing oversight and guidance on the performance of the components of the Union and fulfilling its fiduciary responsibilities[3].
- establish appropriate measures to address unfavourable impacts from risks and favourable benefits from opportunities.
- foster a transparent approach to risk through appropriate communication.

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

[1] Adapted from PwC (no date), Enterprise Risk Management: Rethinking risk from a different perspective. Available at https://www.pwc.com/m1/en/services/assurance/risk-assurance/enterprise-risk-management.html
[2] Adapted from Trent University, 2013. Available at https://www.trentu.ca/riskmanagement/sites/trentu.ca.riskmanagement/files/documents/ERMpolicyDec62013.pdf
[3] See IUCN Statutes, §37(b)(i) to (iii)

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

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

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

Table 1
Summary of ERM roles and responsibilities

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

[4] See https://www.iucn.org/about/senior-management/leadership-team

2. Policy statement

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

3. Scope

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

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

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

Table 2

Enterprise risk management vs Project risk management[5]

Enterprise risk management	**Project risk management**
• is about culture – it is about cultural transformation of the organisation • Enterprise view is on the organisation and particularly strategic planning and how oversight of the organisation is accomplished • Focus on risks associated with strategic planning process • Embedded within organisation's approach to governance and oversight • Looks at how the organisation is run at the highest level	• is transactional in nature – it looks at risks associated with a given project, where risks get identified, analysed and get addressed. • Project view is around a single initiative and how that is approached • Embedded within approach to Project Management

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

4. Terms and definitions

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

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

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

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

Likelihood (probability). The chance of something happening.

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

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

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

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

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

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

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

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

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

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

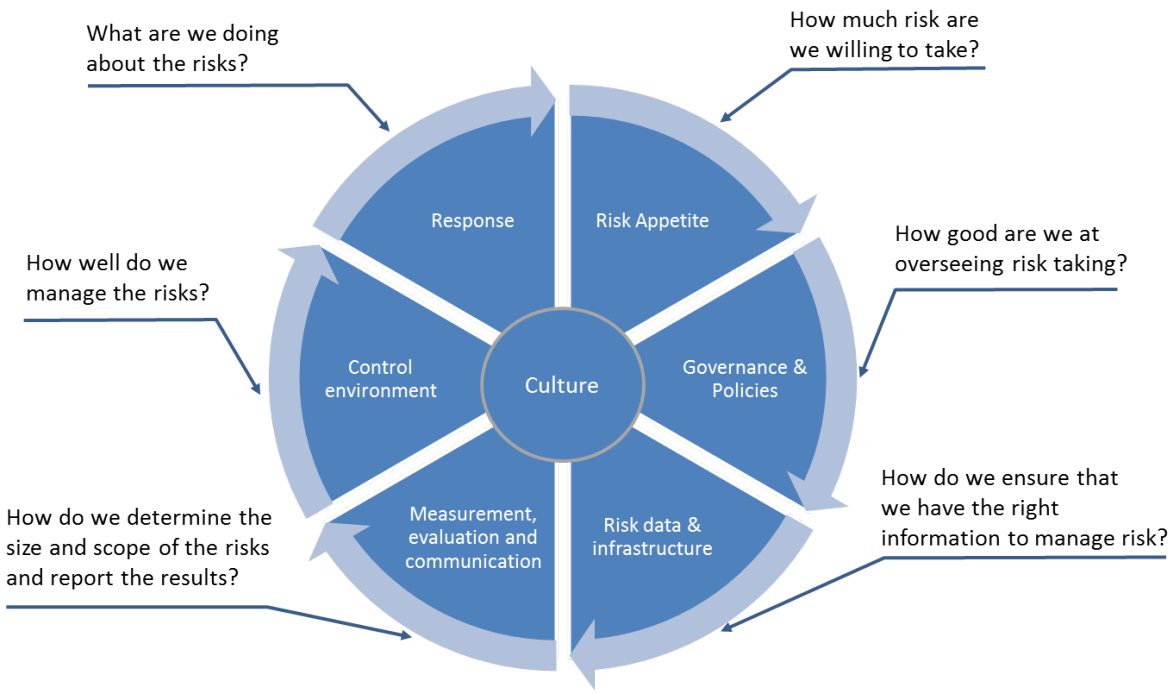
Risk treatment[6]**.** A measure to modify risk. Risk treatment can involve: avoiding the risk by deciding not to start or continue with the activity that gives rise to the risk; taking or increasing risk in order to pursue an opportunity; removing the risk source; changing the likelihood; changing the consequences; sharing the risk with another party or parties; retaining the risk by informed decision. Risk treatments that deal with negative consequences are sometimes referred to as "risk mitigation", "risk elimination", "risk prevention" and "risk reduction". It should be noted that risk treatment in itself can create new risks or modify existing risks.

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

5. Enterprise risk management framework

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

Figure 2
Enterprise Risk Management Framework[7]



[6] Adapted from ISO Guide 73:2009, Risk management -- Vocabulary

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

5.1 Risk Appetite[8]

HOW MUCH RISK ARE WE WILLING TO TAKE?

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

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

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

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

Council approves the overall risk appetite and risk tolerances that align with stakeholder expectations[9]. Management develops and executes strategies and plans that are consistent with Council's mandate on risk taking. The Risk Appetite Statement is typically reviewed annually or whenever there is a significant change to the Union's operating environment.

5.2 Governance & policies

HOW GOOD ARE WE AT OVERSEEING RISK TAKING?

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

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

Clear responsibilities in addressing risk and control and how efforts are coordinated is presented in figure 3. This illustrates IUCN's delineation of roles and responsibilities for risk and control management, as adapted from the Three Lines of Defense Model[10]. This is further detailed in table 4.

[8] Adapted from Gert Cloete and David Goldsworthy, Institute of Risk Management, South Africa (no date). Risk Appetite. Available at https://www.theirm.org/media/1122561/IRM-Risk-Appetite-Presentation-Feb-2014.pdf ; Nadine Boghdadi, 2015. Risk Appetite Statement: Make or break? Available at https://www.willis.com/subsites/australia/Documents/Publications/services/BusinessRisk/W0477AU_Thought_Leadership_Article_Risk_Appetite_Statement_web.pdf ; and Jim Toole and Matt Stahl, 2016. Developing a Robust Risk Appetite Statement.

[9] IUCN Council approved a risk appetite statement at its 94th meeting (May 2018). See annex 3 to Decision C/94/4.

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

Figure 3
Addressing risk and control in IUCN

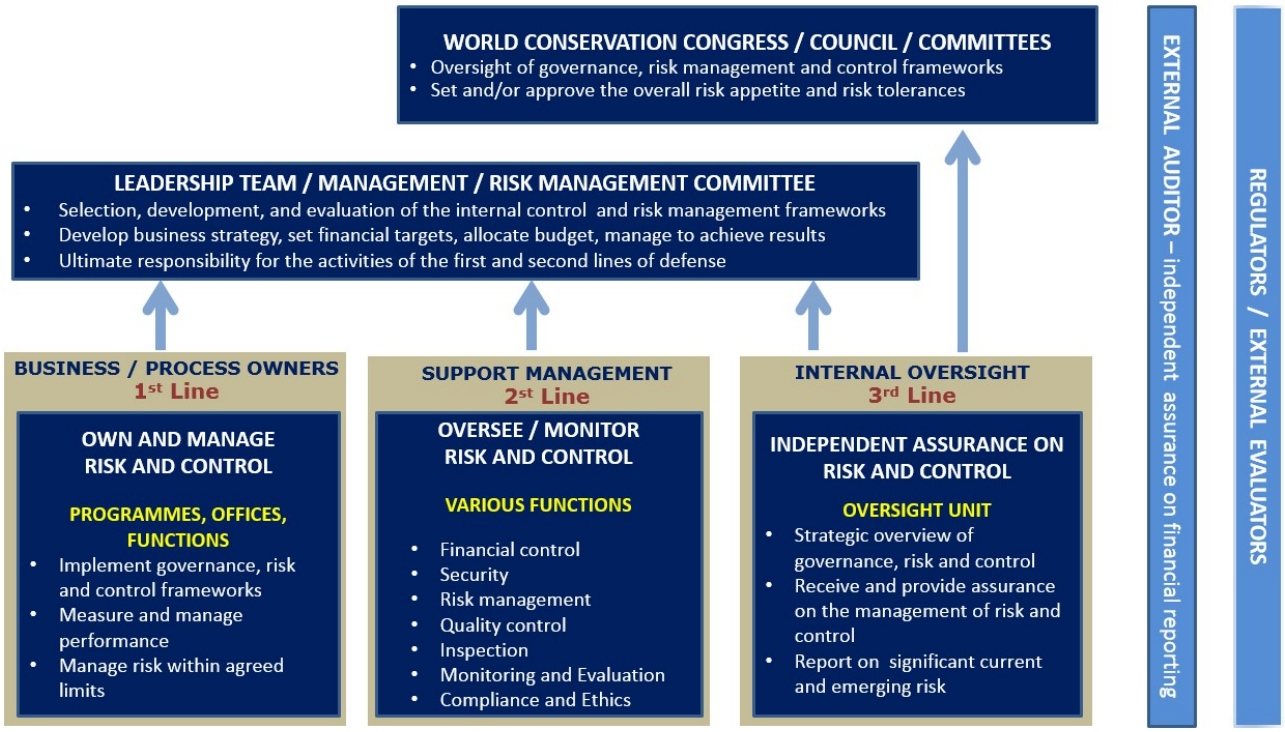


Table 4
Understanding the Three Lines of Defense model

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

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

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

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

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

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

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

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

5.3 Risk data & infrastructure

HOW DO WE ENSURE THAT WE HAVE THE RIGHT INFORMATION TO MANAGE RISK?

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

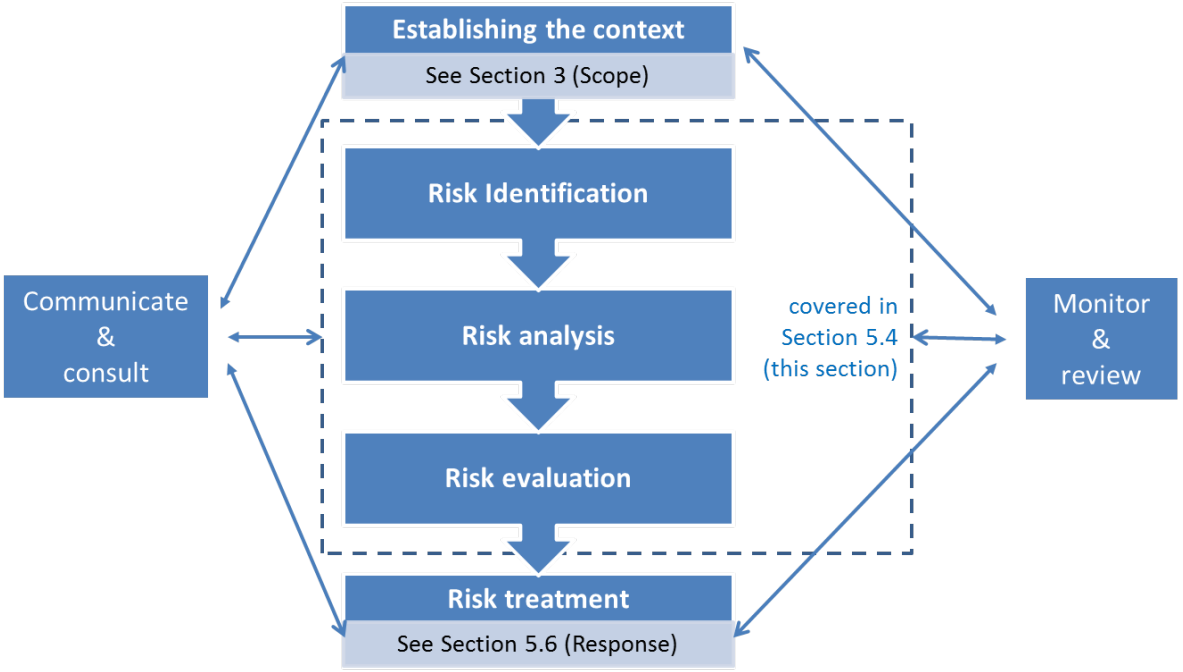
To ensure effective, systematic and coordinated implementation of the Enterprise Risk Management framework, the Director General and the Leadership Team will convene a least one session annually to review the effectiveness of the framework, in particular with respect to data and infrastructure.

5.4 Measurement, evaluation and communication

HOW DO WE DETERMINE THE SIZE AND SCOPE OF THE RISKS AND REPORT THE RESULTS?

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

Figure 4
ISO 31000:2009 Process overview



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

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

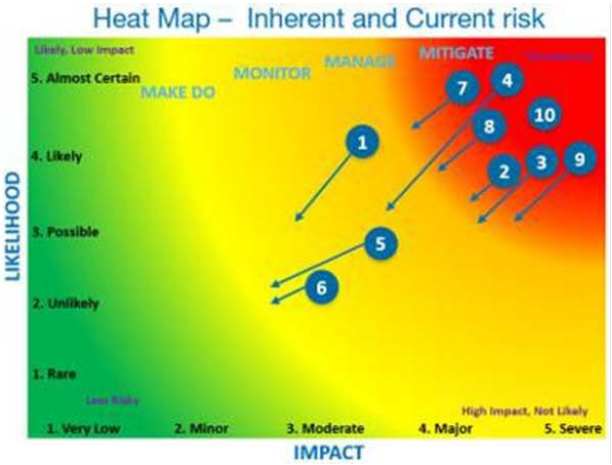
Risk evaluation. The evaluation of risks is a decision-making process. The risk levels of all analysed risks are evaluated to determine which risks need treatment and their priority (see Figure 5). The focus of attention is primarily on high and extreme risks. Although low and moderate risks may not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

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

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

Figure 5
General risk acceptance guidance for evaluating risk

Rating	Criteria for managing the risk
Extreme Tier 1	The risk requires immediate action. If appropriate treatment cannot be initiated stop ongoing activities. Report risk to manager.
High Tier 2	The risk requires appropriate action. While activities can be continued, initiate treatment and report to manager as soon as possible.
Moderate Tier 3	The risk requires treatment. Initiate treatment within the allowable time frame.
Low Tier 4	The risk is acceptable and can be managed through the available controls provided the impacts are not high.



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

Table 4
ERM reporting requirements

Report[12]	Audience	What it covers	Who is responsible	Periodicity
Summary risk report *(requires update of Risk Register database)*	Risk Management Committee	• includes summary of current risk landscape (risk matrix/heat map) • includes description of overall impact of risks on objectives and list of top key risks and treatment status • includes updated risk register	All LT members	2 / year
ERM Plan *(requires update of Risk register database)*	FAC	Summary of strategic risks, expanding on Tier 1 risks	Head, PMER	2 / year

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

***Director General's Report** to Council*[13]	Council	Summary of strategic risks, aligned with ERM Plan	CoS	1 / year
Ad-hoc reports	Risk Management Committee	• Can be email/phone • Risk register should be updated as soon as possible.	Head, PMER	as needed

5.5 Control environment

HOW WELL DO WE MANAGE THE RISKS?

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

Internal controls help reduce the level of inherent risk to a level acceptable to management. The system of internal controls includes culture, governance, policies, preventive and detective controls, and scenario planning. IUCN's Policy on Internal Control[14] provides an overview of roles and responsibilities covering the three lines of defense model.

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

5.6 Response

WHAT ARE WE DOING ABOUT THE RISKS?

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

Table 5
Response options to risk

Tolerate	Accept the risk if the opportunities outweigh the risk. The risk owner should, however, continue to monitor the risk
Treat/Mitigate[15]	Reduce the impact, likelihood or both and/or improve the existing controls or develop new controls to reduce the risk to acceptable levels
Transfer	Move the risk so that a third party takes on the responsibility for an aspect of the threat
Terminate	Avoid the risk by not undertaking the programme activity(ies) associated with the risk or changing the scope, procurement process, supplier or sequence of activities, among others depending on the type of risk

[13] In line with Strategic planning and reporting framework which requires that a "strategic risk matrix" be included (Annex 4 to Council decision C/88/7).
[14] Under development.
[15] See definition of "risk treatment" in section 4 (Terms and definitions).

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

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

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

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

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

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

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

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

6. Risk Management Committee

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

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

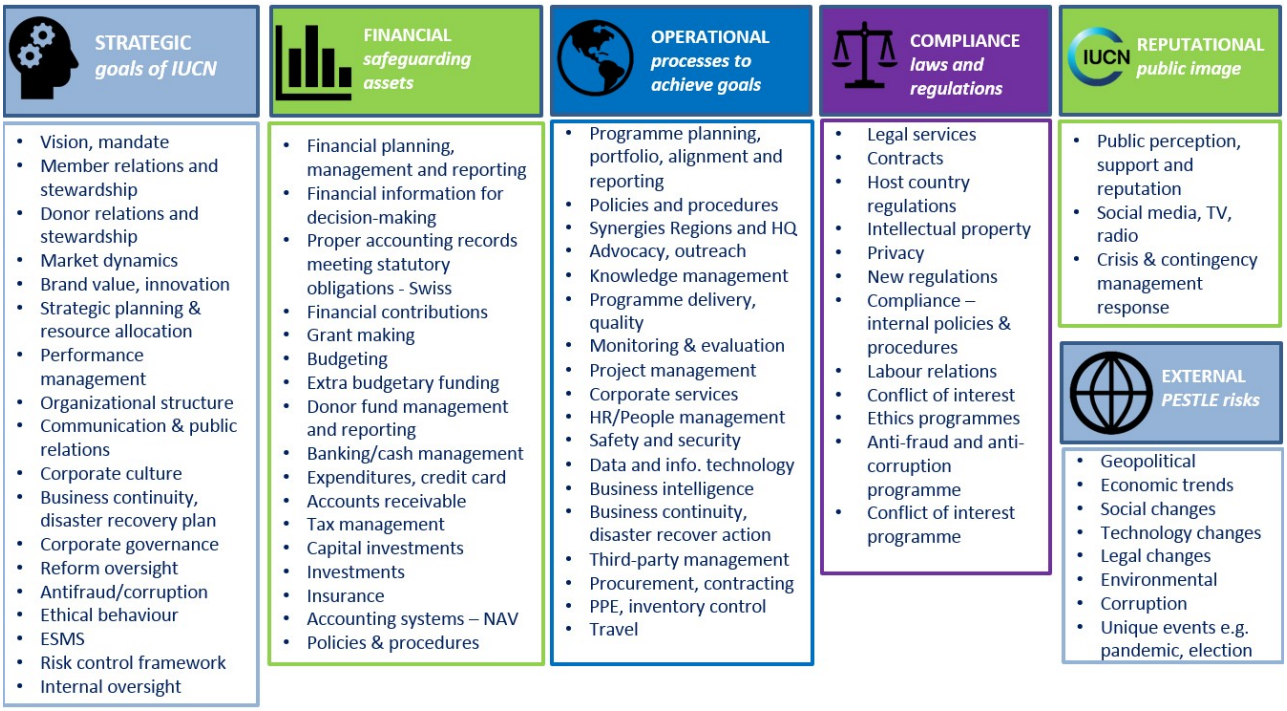
- Ensuring that the overall Enterprise Risk Management framework is effective, relevant and applied organisation-wide;
- Reviewing and analysing the aggregated risk register (and escalated risks) on a regular basis with the purpose of identifying strategic risks and issues which require the attention of Leadership Team, developing proposals for managing escalated issues/risks (including business continuity and disaster recovery).
- Twice a year, review and update the ERM Plan[16].

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

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

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

Annex 1 IUCN Initial Risk Categories and Risk Universe



Annex 2 Likelihood and Impact Criteria Model

Likelihood Criteria

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

Impact Criteria

Rating	Financial	Performance	Security and Safety	IUCN employees	Operations	Compliance	Reputation
Severe 5	>50% of applicable budget	More than 5O% of the applicable and planned results/outcome affected and/or in jeopardy	Deaths (single or multiple)	• Affects >75% of employees • >25% employee turnover • Low morale IUCN-wide	Risk of permanent disruption in applicable operations	Major deviation from applicable rules and regulations	Negative reports/articles in several national, regional and/or international media for a period of a month or more, and/or strong criticism from key stakeholders
Major 4	21-50% of applicable budget	30-50% of the applicable and planned results/outcome affected and/or in jeopardy	Multiple people with serious long- term injury Intensive care	• Affects >50% of employees • >20% employee turnover • Low morale within a single Region or at HQ	Disruption in applicable operations for one month or longer	Significant deviation from applicable rules and regulations	Negative reports/articles in several national, regional and/or international media for a period of a week or more, and/or criticism from key stakeholders
Moderate 3	11-20% of applicable budget	20-30% of the applicable and planned results/outcome affected and/or in jeopardy	One person with serious long-term injury	• Affects >30% of employees • >15% of employee turnover • Low morale within a single business unit	Disruption in applicable operations 1-4 weeks	Moderate deviation from applicable rules and regulations	Negative reports/articles in national, regional and/or international media
Minor 2	5-10 % of applicable budget	5-20 % of the applicable and planned results/outcome affected and/or in jeopardy	Single or multiple minor injuries requiring hospital treatment	• Affects >10 % employees • <15% of employee turnover	Disruption to applicable operations 2-7 days	Moderate deviation from applicable rules and regulations	Several negative comments from external stakeholders
Very Low 1	<5 % of applicable budget	Negligible/no impacton results/outcome	Single or multiple minor injury requiring first aid	• Affects <5% of employees • No impact on recruitment or retention	Disruption to applicable operations for 1-2 days	Negligible deviation from applicable rules and regulations	Not applicable or limited impact

Annex 3 Terms of Reference - Risk Management Committee

Background

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

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

Duties and Responsibilities

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

1. **Reviewing and analysing corporate risks**

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

a. Corporately identified risks

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

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

b. Analysis from aggregated risk registers

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

c. Escalated risks from regional and country offices

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

2. Monitoring, reviewing and maintaining the overall risk framework

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

In performing this responsibility, the Committee will:

- ensure that relevant guidance and other supporting material is updated;
- recommend changes in the ERM Policy and other relevant policies, in line with the level of maturity of the organisations' systems and processes;
- ensure risk registers at all levels of the Secretariat are fully operational, standardised and integrated;
- ensure consistency in reporting, including by providing templates and other relevant guidance for reports such as the "Summary risk reports" (to be completed by LT members) and the "ERM Plan[17]" (to be prepared by the Head, PMER);
- develop, facilitates and grows a network of in-house experts in risk management;
- build and disseminate knowledge, including by promoting ways for capturing, reviewing lessons learned and best practices;
- ensure training of staff.

3. Management arrangement

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

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

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

4. Committee meetings

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

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

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

5. Risk committee secretariat

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

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

*
* *

IUCN RISK APPETITE STATEMENT

Approved by the IUCN Council at its 94th meeting (April 2018), Decision C/94/4

Overall Risk Appetite Statement (Preamble)

Risk appetite is an expression of the type and amount of risk that IUCN is prepared to take. It promotes consistent, 'risk-informed' decision-making aligned with strategic aims and also supports robust corporate governance by setting clear risk-taking boundaries. IUCN works on the principle of subsidiarity[1] which is demonstrated through adherence to centrally issued and institution-wide policies, reinforced through a carefully crafted Delegation of Authority and operationalized through effective leadership at all levels of the organization. IUCN recognizes that risk appetite is a statement of aspiration (where we want to be) while risk tolerance is a statement of fact (where we currently are). Hence, it is also important to have good understanding of IUCN's risk tolerance within our specified categories of risks. IUCN's risk appetite represents a conscious assessment of potential and actual environmental obstacles as we collectively pursue and accomplish our strategic objectives.

Strategic Risks

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

Financial Risks

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

Operational Risks

IUCN must have comprehensive operational systems and practices that support the achievement of its strategic objectives. IUCN implements its strategic objectives through a diverse and large global and regional programme and project portfolio. The Union applies programme and project management standards

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

rigorously and has a ***moderate to high*** risk appetite for accepting difficult projects if aligned with our strengths and strategic priorities. IUCN places importance on a culture of equality, diversity, dignity and respect, as well as the health, safety and development of staff. IUCN has a ***low*** risk appetite for deviation from its standards.

Compliance Risks

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

Reputational Risks

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

External Risks

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

Proposed amendment to Regulation 45*bis*

Current Regulation 45*bis*:	**<u>IUCN Council Global Focal Person(s)</u>** **Proposed amendment to Regulation 45*bis*:**
Council shall appoint a member of Council as the IUCN Council Global Oceans Focal Person.	Regulation 45*bis* Council ~~shall~~<u>may</u> appoint ~~a~~ member<u>s</u> of Council as ~~the~~ IUCN Council ~~Oceans~~ Global Focal Person<u>s, for a period up to the end of the term for which s/he has been elected, with the purpose of:</u> (a) <u>increasing the understanding in Council on a specific matter and the inclusiveness of its deliberations;</u> (b) <u>contributing to raise the profile of IUCN's work with key stakeholders;</u> (c) <u>promoting a strong focus and coherent body of work across IUCN on the issue concerned by liaising with the Secretariat, the Commissions and Members; and</u> (d) <u>bringing her/his perspective and advice to the Council trough the relevant committee of the Council, including policy, governance, and resourcing implications.</u>

Policy and Procedure on Forward Contracts for Hedging

(Amendments approved by Council at its 94th meeting are highlighted)

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

1. Purpose

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

2. Applicability

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

3. Background and Guiding Principles

1 IUCN will only use Forward Foreign Currency Contracts to hedge currency risk. It will not use Forward Contracts for a speculative trading purpose.

2 IUCN receives some funds in Foreign Currencies, other than the main spending currencies Swiss Francs, Euros and USD, for example in Swedish or Norwegian Kronor. For significant contract values IUCN purchase a forward contract to hedge the currency into a "spending" currency. In doing so, IUCN can reduce the risk of currency fluctuation, between the time of signing the contract and receiving the funds.

4. Policy

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

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

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

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

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

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

The thresholds set in article 100 of the FMIA.

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

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

Annex 6 to Decision C/94/12

IUCN Statutory region	#	Organisation name	Acronym	Country / Territory (IUCN Statutory State)	Website	Member Category
Africa	1	Benin Ecotourism Concern	ECOBENIN	Benin	http://www.ecobenin.org	NG
	2	Reseau Association Khnifiss *(Khnifiss Network Association)*	RAK	Morocco	http://www.association-khnifiss.com	NG
	3	Association Jeunes Science Kerkennah *(Kerkennah Youth Science Association)*	AJSK	Tunisia	http://www.jskerkennah.org	NG
Meso & South America	4	Instituto de Derecho Ambiental de la República Dominicana *(The Dominican Republic Institute of Environmental Law)*	IDARD	Dominican Republic	http://www.idard@idard.org	NG
North America & the Caribbean	5	American Society of Mammalogists	ASM	United States of America	http://www.mammalsociety.org	NG
South and East Asia	6	Gujarat Ecology Commission	GEC	India	http://www.gec.gujarat.gov.in	GA
	7	Azat Foundation	AF	Pakistan	http://www.azatfoundation.org	NG
East Europe, North & Central Asia	8	Stichting Connecting Natural Values and People Foundation	CNVP	The former Yugoslav Republic of Macedonia	http://www.cnvp-eu.org	NG
West Europe	9	Un bosque para el Planeta Tierra *(A forest for planet earth)*	ONG	Spain	ttp://www.unbosqueparaelplanetatierra.co	NG
	10	Doğa Koruma Merkezi Vakfi *(Nature Conservation Centre Foundation)*	DKM	Turkey	http://www.dkm.org.tr/	NG
	11	Synchronicity Earth	SE	United Kingdom	https://www.synchronicityearth.org	NG

NG National Non Governmental Organisations
GA Government agencies

IUCN United for life and livelihoods

Revised membership application/review and due diligence process

1. **Application is received** by the Membership Focal Point (MFP) who does a first review.

2. **Membership Focal Point forwards request for information to Regional Councillors and National (or Regional) Committee** and asks them to reply to the proposed questions for each new application. The feedback received from Councillors/Committees, and Regional office should not be added to the assessment form but sent to HQ as an e-mail or word document as soon as possible and before the preparation of documents for GCC/Council/Bureau. This feedback will be shared with GCC/Council for final decision.

3. **Applications including feedback from Councillors/National Committees/Regional/National offices sent to Membership Unit (MU) at IUCN HQ.** If some Councillors or Committees have not responded, the applications should be sent to MU anyway within the specified time. Their feedback should be forwarded to MU once received by MFPs. In the meantime, they should be reminded to reply as soon as possible.

4. Review undertaken by MU. Final checks made and concerns raised through a separate document listing the concerns, with regards to certain membership applications which don't meet the criteria set out in Art. 7 of the Statutes. This document would only be shared with GCC/Council at the time of considering the membership applications (before a Bureau/Council meeting).

5. Secretariat to circulate applications to Members, including assessment forms. The assessment form duly completed should clearly indicate whether or not the applicant meets a requirement or not (by yes/no/? (in case of uncertainty).

6. Objections/no objections (or concerns) received from Members.

7. **Applicants which received objections are contacted and have three weeks to reply to the objections.**

8. **Additional people are contacted (for due diligence process)** as necessary and as determined by the GCC Chair and/or Secretariat.

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www.iucn.org

Dear Applicant,

We are delighted that your organisation has decided to join IUCN.

Your application will receive personal attention from the Membership Focal Point in the IUCN Regional Office responsible for your region, with the support of the Union Development Group at IUCN Headquarters in Gland.

Please read the “Help and Instructions” section that will guide you through the steps involved to complete your application.

As indicated in Article 4 of the IUCN Statutes, there are four categories of Members:

- Category A: States, political and/or economic integration organisations and government agencies;
- Category B: Non-governmental organisations;
- Category C: Indigenous peoples’ organisations
- Category D: Affiliates

The deadlines to receive applications are: 31 March, 30 June, 30 September and 31 December of each year States and Political and/or Economic Integration Organisations can join IUCN at any time.

Please also consult the membership section of the IUCN website, where you will find the documents you need to consult while completing your application, as well as the application form:
https://www.iucn.org/about/union/members/how-become-member-iucn

Your first point of contact for all questions related to the membership application process is the Membership Focal Point in your region. For contact details, please consult our website:
https://www.iucn.org/about/union/members/membership-focal-points

We look forward to receiving your application file.

The Network of Regional Membership Focal Points
Union Development Group

Help and instructions: What do you need to do?

Before completing your application, please refer to the following documents:

- **Benefits for Members:** by joining IUCN, you will benefit from IUCN's scientific credibility, its unsurpassed knowledge base and convening power, extensive networking opportunities and access to high-level political, economic and social decision making. Being a Member of IUCN enables you to both advance your own cause and to strengthen common action in overcoming barriers to a sustainable future.

- **IUCN's Statutes and Regulations** adopted by IUCN Members: You need to confirm that your organisation shares and supports the objectives of IUCN as set out in the Statutes and Regulations.

- **Membership Dues Guide**: A deposit equivalent to the entire current year of membership is payable at the time of submitting the application or the letter of adhesion (for States and Political and/or Economic Integration Organisations). However, once the new Member has been admitted, the membership dues for that year are calculated on a pro-rata basis of the total annual membership dues starting the month following admission. If the balance is then positive, it will be credited to the following year. The deposit will be reimbursed in full by IUCN if the application is rejected (not valid for States and Political and/or Economic Integration Organisations). The Membership Dues Guide provides all of the necessary information you will need to estimate the amount of your first year's membership dues deposit.
- **The IUCN Programme 2017-2020** adopted by IUCN Members.

Please note that IUCN membership does not expire unless the IUCN Member is withdrawn or expelled from IUCN as detailed in Article 13 of the IUCN Statutes or unless the IUCN Member withdraws voluntarily by providing IUCN with written notification of its intention to withdraw its membership. Members withdrawing from the Union must ensure that all outstanding membership dues have been paid up to and including the year of the notification of withdrawal.

If you wish to join as a State[1] or as a Political and/or Economic Integration Organisation[2] (Category A):

- States and political and/or economic integration organisations become Members of IUCN by notifying the Director General of their adhesion to the IUCN Statutes, effective upon payment of the first year's membership dues. [IUCN Statutes, Article 6]
- The notification of adhesion to the Statutes by a State is to be made by or on behalf of the Head of State, the Head of Government or the Minister for Foreign Affairs. [IUCN Regulations, Paragraph 3 (a)]

  Draft text:

  "Notification is hereby given by the Government of <COUNTRY NAME> of its adhesion to the Statutes of IUCN and willingness to become a Member of IUCN.

  The Government of <COUNTRY NAME> designates <NAME OF THE GOVERNMENT AGENCY> as its liaison with the IUCN Secretariat."
- The notification of adhesion to the Statutes by a political and/or economic integration organisation shall be made by its duly authorized representative and shall be accompanied by a statement declaring the extent of its competence with respect to the matters provided in the Statutes. [IUCN Statutes, Article 6 and IUCN Regulations, Paragraph 3 (b)].
- For States or political and/or economic integration organisations joining the Union, a payment equivalent to the first year of membership is due at the time of submitting the letter of adhesion. The membership dues for that year are then calculated on a pro-rata basis of the total annual membership dues, starting from the month following receipt of the letter of adhesion. If the balance is positive, it will be credited to the following year.

[1] "States shall be those which are members of the United Nations or any of its Specialised Agencies, or of the International Atomic Energy Agency, or parties to the Statutes of the International Court of Justice" [IUCN Statutes, Article 5 (a)].

[2] "Political and/or economic integration organisations shall be organisations constituted solely by States to which those States have conferred legal competence in respect of matters within the objectives of IUCN" [IUCN Statutes, Article 5 (c)].

If you are a Government agency[3] (Category A), a National[4] or International[5] Non-Governmental Organisation (Category B), an Indigneous peoples' organisation[6] (Category C) or if you wish to apply as an Affiliate[7] (Category D):

- Contact the IUCN Membership Focal Point in your region who will assist you throughout the process: https://www.iucn.org/about/union/members/membership-focal-points;
- Complete the application form and have it signed by the Head of your organisation/institution;
- Include all the additional material necessary to complete your application file. Please refer to the requirements detailed on the subsequent pages;
- Pay your membership dues deposit; and
- Send your application to the IUCN Membership Focal Point in your region.
- **Ensure that all the above is completed by the application deadline.**

What are the main requirements for Government agencies, National and International Non-Governmental Organisations and Affiliates to become Members of IUCN?

The IUCN Council must determine that [IUCN Statutes, Article 7]:

- the applicant shares and supports the objectives of IUCN;
- the applicant has as one of its central purposes the achievement of IUCN's objectives and a substantial record of activity in the conservation of nature and natural resources; and
- the objectives and track record of the applicant embody to a substantial extent :

  (i) the conservation of the integrity and diversity of nature; and, either or both:

  (ii) the aim to ensure that any use of natural resources is equitable and ecologically sustainable;

  (iii) dedication to influencing, encouraging and assisting societies to meet the objectives of IUCN;
- the applicant does not pursue objectives or carry out activities that conflict with the objectives or activities of IUCN;

Government agencies (GAs)

Government agencies seeking membership of IUCN shall submit an application for admission to the Director General via the relevant Membership Focal Point supported by a statement from the Head of the agency, setting forth its competence to adhere to the Statutes [IUCN Regulations, Paragraph 4] and to confirm that this application conforms with the laws of the State where the agency/institution is located. A statement is available for signature on page 16 of this application form.

Non-Governmental Organisations (NGOs)

NGOs must comply with the following four main requirements [IUCN Regulations, Paragraph 5 (a)]:

- be a not-for-profit entity which conforms with the law of the State where its seat is located;
- have been in existence for at least three years;
- have a board that is autonomous and independent[8]; and
- have a governance structure which is transparent, accountable and representative[9].

[3] Government agencies shall be organisations, institutions and, when applicable, government departments, which form part of the machinery of government in a State, including those agencies of the components of federal States or of States having an analogous structure [IUCN Statutes, Article 5 (b)].
[4] National non-governmental organisations shall be institutions and associations incorporated within a State [IUCN Statutes, Article 5 (d)].
[5] International non-governmental organisations shall be institutions and associations organized in two or more States [IUCN Statutes, Article 5 (e)].
[6] Indigenous peoples' organisations shall be institutions and associations established by indigenous peoples for the advancement of indigenous communities [IUCN Statutes, Article 5 (f)]
[7] Affiliate Members shall be government agencies, national and international non-governmental organisations, which are not in Categories A or B [IUCN Statutes, Article 5 (f)]. Only Members in Categories A and B shall have the right to vote. [IUCN Statutes, Article 30].
[8] Is deemed to mean a board whose decision-making processes adhere to the provisions contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and are not controlled or unduly influenced through financial or other pressures exerted by government agencies or public or private entities.

Other requirements:

- NGOs must submit a minimum of two letters of endorsement from IUCN Members in good standing[10] or from IUCN National/Regional Committees, IUCN Councillors or IUCN Honorary Members[11]. All related links are available on page 8 of this form. Letters of endorsement shall indicate that the seconder knows well the applicant organisation and its activities and therefore can confirm to IUCN that the applicant meets all the requirements prescribed in the IUCN Statutes and Regulations to be accepted as an IUCN Member.
- NGOs must submit a copy of their Statutes/Bylaws/Constitution documents and their **latest annual audited financial statements together with a reconciliation (highlight) to the declaration of operating expenditure**, which is used to calculate the annual IUCN membership dues. If the organisation is not required to have a statutory audit the **latest annual financial statements** approved by the Board or governing body can be provided. Operating expenditure is defined as the expenditure arising in the course of ordinary activities of the organisation and which is considered to be **recurrent and annual**. **It does not include one-time investments**.

  Here is a list of items that would normally be included in operating expenditure:

  audit fees - bank interest and charges - building rental – cleaning - communication costs (internet, phone, fax, etc) – consultants – depreciation – equipment – insurance - information technology costs - legal and professional fees - meetings and workshops - monitoring and evaluation - printing and publication costs - provisions and write offs - repairs and maintenance – security - staff salaries and benefits - sundry administrative costs (office supplies, etc) – training - translation and interpretation - vehicles and fuel water, electricity, gas, etc.

In addition to the above requirements, any duly accredited university, similar institution of higher learning, specialized centre(s) and research institute(s), organized within a State, seeking admission in Category B [IUCN Regulations, Paragraph 5 (b)] shall be:

- an academic or professional entity of high standing; and
- autonomous in administration and governance[12].

International Non-Governmental Organisations (INGOs)

INGOs must comply with the following requirements [IUCN Regulations, Paragraph 6]:

- be a not-for-profit entity which conforms with the laws of the State where its seat is located[13];
- have been in existence for at least three years;
- have a substantial record of activity in two or more States and out posted or country offices reporting back to Headquarters[14];
- have a governing body open to nationals from at least two States;
- have a governance structure which is transparent, accountable and representative[9]; and
- have a board that is autonomous and independent[15].

[9] Is deemed to mean that the statutes/articles, regulations/bylaws or other constitutive institutional instruments provide for a governance structure that affords the members of the organisation and/or its Board, fair and adequate participation in the business and governance of the organisation, that require the organisation to be transparent and accountable in its activities, finances and policies, and that such provisions are adhered to in the day-to-day business of the organisation.

[10] In good standing means that the Member is up-to-date in the payment of its IUCN membership dues up to and including the year preceding the membership application request.

[11] When letters of endorsement are submitted by IUCN Councillors or Honorary Members, any formal or informal relationships with the applicant must be detailed and disclosed at the time of endorsement.

[12] Is deemed to mean an organisation whose decision-making processes adhere to the provision contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and is not controlled or duly influenced through financial or other pressures exerted by government agencies or public or private entities.

[13] Membership applications for International NGOs must be received from the organisations' Headquarters" and "if admitted as an IUCN Member, the organisation will be registered in the country in which its HQ is based.

[14] Means that the organisation must operate and have activities (i.e. concrete projects) in two or more States. The organisation must have a Headquarter and two or more outposted countries offices reporting back to it. Outposted staff based or hosted in partner organisations in other countries cannot be considered as outposted offices.

[15] Is deemed to mean a board whose decision-making processes adhere to the provisions contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and are not controlled or unduly influenced through financial or other pressures exerted by government agencies or public or private entities.

Other requirements:

- INGOs must submit a minimum of two letters of endorsement from IUCN Members in good standing[16] or from IUCN National/Regional Committees, IUCN Councillors or IUCN Honorary Members[17]. All related links are available on page 8 of this form. Letters of endorsement shall indicate that the seconder knows well the applicant organisation and its activities and therefore can confirm to IUCN that the applicant meets all the requirements prescribed in the IUCN Statutes and Regulations to be accepted as an IUCN Member.
- INGOs must submit a copy of their Statutes/Bylaws/Constitution documents and their **latest annual audited financial statements together with a reconciliation (highlight) to the declaration of operating expenditure**, which is used to calculate the annual IUCN membership dues. **The report must reflect the organisations' total operating expenditure (i.e. in all countries in which it operates).** If the organisation is not required to have a statutory audit the **latest annual financial statements** approved by the Board or governing body can be provided. Operating expenditure is defined as the expenditure arising in the course of ordinary activities of the organisation and which is considered to be **recurrent and annual**. **It does not include one-time investments**.

  Here is a list of items that would normally be included in operating expenditure:

  audit fees - bank interest and charges - building rental – cleaning - communication costs (internet, phone, fax, etc) – consultants – depreciation – equipment – insurance - information technology costs - legal and professional fees - meetings and workshops - monitoring and evaluation - printing and publication costs - provisions and write offs - repairs and maintenance – security - staff salaries and benefits - sundry administrative costs (office supplies, etc) – training - translation and interpretation - vehicles and fuel water, electricity, gas, etc.

- INGOs must submit a report showing the record of their activities in two or more States and a proof of their out posted legally registered offices in States/countries (two or more), which are different from where the main office or Headquarters is located. Out posted staff based or hosted in partner organisations cannot be considered as "out posted or country offices".

Indigenous peoples' organisations (IPOs)

IPOs must comply with the following requirements [IUCN Regulations, Paragraph 5 bis]:

- Be a not-for-profit entity which conforms with the law of the State where its seat is located;
- Have been in existence for at least three years;
- Be autonomous in administration and governance[18]; and
- Have, as its primary constituency, indigenous peoples.

Other requirements:

- IPOs must submit a minimum of two letters of endorsement from IUCN Members in good standing[15] or from IUCN National/Regional Committees, IUCN Councillors or IUCN Honorary Members[16]. All related links are available on page 8 of this form. Letters of endorsement shall indicate that the seconder knows the applicant organisation and its activities well and therefore can confirm to IUCN that the applicant meets all the requirements prescribed in the IUCN Statutes and Regulations to be accepted as an IUCN Member.
- IPOs must submit a copy of their Statutes/Bylaws/Constitution documents and their **latest annual audited financial statements together with a reconciliation (highlight) to the declaration of operating expenditure**, which is used to calculate the annual IUCN membership dues. If the organisation is not required to have a statutory audit the **latest annual financial statements** approved by the Board or governing body can be provided. Operating expenditure is defined as the expenditure arising in the course of ordinary activities of the organisation and which is considered to be **recurrent and annual**. **It does not include one-time investments**.

[16] In good standing means that the Member is up-to-date in the payment of its IUCN membership dues up to and including the year preceding the membership application request.
[17] When letters of endorsement are submitted by IUCN Councillors or Honorary Members, any formal or informal relationships with the applicant must be detailed and disclosed at the time of endorsement.
[18] Is deemed to mean an organisation whose decision-making processes adhere to the provision contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and is not controlled or duly influenced through financial or other pressures exerted by government agencies or public or private entities.

Here is a list of items that would normally be included in operating expenditure:

audit fees - bank interest and charges - building rental – cleaning - communication costs (internet, phone, fax, etc) – consultants – depreciation – equipment – insurance - information technology costs - legal and professional fees - meetings and workshops - monitoring and evaluation - printing and publication costs - provisions and write offs - repairs and maintenance – security - staff salaries and benefits - sundry administrative costs (office supplies, etc) – training - translation and interpretation - vehicles and fuel water, electricity, gas, etc.

Affiliates (AF)

Government agencies and National/International Non-Governmental Organisations wishing to apply as Affiliates, are still required to fulfil the requirements of the relative aforementioned membership categories (refer to the above requirements depending on the status of your organisation/institution).

All Affiliate Members pay the same rate, as indicated in the Membership Dues Guide, and therefore it is not necessary to provide a copy of your latest annual audited financial report with your application.

Affiliate Members do not have the right to vote, nominate candidates or submit Motions to the World Conservation Congress (Article 12 (b) of IUCN Statutes).

What are the main steps of the IUCN Membership application/admission process?

(IUCN Regulations, Articles 12-18, describe the application process.)

- Deadlines for membership applications to be received by the Director General are 31 March, 30 June, 30 September and 31 December every year. During the admission process, all communications will be undertaken via electronic means (email).
- The Membership Focal Point in your region will ensure that your application is complete and make a first evaluation of your application based on the requirements of the IUCN Statutes and Regulations. It will then be sent to the Union Development Group at IUCN Headquarters for final review, consolidation and processing. At the same time, a set of questions related to your application will be sent to the relevant Regional Councillor(s) and National or Regional Committee, as part of the due diligence process.
- The Director General will email notice of the applications, together with the appropriate information on the applicants, to existing IUCN Members.
- Members eligible to vote have the right to object to an application. Any such objection must reach the Director General within four weeks from the Director General's notification referred to in Regulation 14. Such an objection can only be made on the grounds that the applicant does not meet the requirements of Membership provided in the Statutes or prescribed in the Regulations. Any objections need to detail the specific grounds and particulars on which the objection is based.
- The applicant will then be given an opportunity to respond to the objection within three weeks from the Director General's notification of the objection to the applicant. The application and other related documents (except financial information), the objection and the reply from the applicant, may be shared with the relevant IUCN National/Regional Committee and other IUCN constituents as part of the due diligence process. The Membership Unit will submit the file to the Governance and Constituency Committee of the IUCN Council, which, prior to each Council/Bureau meeting, considers the applications and makes recommendations to the Council/Bureau regarding the admission of applicant Members.
- The Council, and if not in session, the Bureau, shall take a decision on membership applications within a reasonable time following quarterly application deadlines. The Bureau shall seek Council's advice in a case where there is controversy associated with an application.
- Your Membership Focal Point will inform you of the Council/Bureau's decision via email. Please note that if your organisation is admitted as an IUCN Member, all subsequent communications will also be undertaken via electronic means.

Guidance on filling in the application form

- This application form has been designed for use with Microsoft Word versions 2003, 2007 and 2010.
- The application form is structured with 'form fields' which you should fill in to complete the form. These fields are highlighted by their light grey background. To enter your response, please click on the highlighted fields. Some fields restrict the values you can enter (dates, numbers, etc.) depending on the question.
- You can move from one field to another using the tabulation key.
- To select an option, simply click on the corresponding box. A cross will appear in the box to identify your selection. If you make a mistake, click the box again to clear it and then click the appropriate box.
- The text entry sections of the application form have a fixed font and length. Your answers must fit in the spaces provided on the application form.
- The signature boxes are unprotected and allow you to insert your electronic signature. Alternatively, you can print the form, sign it and return it to us by mail, or electronically as a scanned document (PDF format preferred).

Problems or questions?

Please contact the IUCN Membership Focal Point in your region who will be happy to answer all your questions.

To learn more about IUCN, visit our public website: www.iucn.org

Membership Application Form

Supporting documentation (for Government agencies, National and International Non-Governmental Organisations, Indigenous peoples' organisations and Affiliates)**:**

The application form and the accompanying documentation must be sent in one of the official IUCN languages: English, Spanish or French.

When submitting your application, please ensure that you have provided all the necessary information:

Checklist:

(please tick the boxes relevant to your organisation/institution)

☐ **Statutes/Bylaws/Articles of Association/ other statutory document of your organisation**

➲ *This is only required for National/International Non-Governmental Organisations, Indigenous peoples' organisations and NGOs/IPOs applying as Affiliates.*

In order to verify that your organisation complies with IUCN Regulations.

☐ **Latest annual audited financial statements together with a reconciliation (highlight) to the declaration of operating expenditure[19]. If the organisation is not required to have a statutory audit the latest annual financial statements approved by the Board or governing body can be provided.**

➲ *This is only required for National, International Non-Governmental Organisations and Indigenous peoples' organisations.*

The dues scale for National, International Non-Governmental Organisations and Indigenous peoples' organisations comprises nine different dues groups. Membership dues for National, International NGOs and IPOs are calculated based on the organisation's operating expenditure[16]. Applicant organisations are requested to provide appropriate financial information so that the IUCN Secretariat may determine their dues group.

Please consult the Membership Dues Guide (https://www.iucn.org/sites/dev/files/membership_dues_guide_2017-2020_en_final.pdf)

NB: Please note that existing Members must inform the IUCN Secretariat of any important changes in their organisation which may affect their organisation's membership of IUCN, such as the category of membership or the dues group. If their Statutes and/or expenses have significantly changed since their organisation joined IUCN, they are requested to provide their Membership Focal Point with their organisation's most recent Statutes and/or financial report, including the details of their organisation's operating expenses.

☐ **Two letters of endorsement from IUCN Members in good standing[20] or from IUCN National/Regional Committees, IUCN Councillors or IUCN Honorary Members[21].**

➲ *This is only required for National/International Non-Governmental Organisations and Indigenous peoples' organisations, and for NGOs/IPOs applying as Affiliates.*

Please consult: The Members' database: https://www.iucn.org/secretariat/membership/about/union/members/who-are-our-members - Our list of National and Regional Committees: https://www.iucn.org/secretariat/about/union/members/national-and-regional-committees
IUCN Councillors: https://www.iucn.org/about/council/members - Honorary Members : https://www.iucn.org/about/union/members/iucn-awards/honorary-membership-iucn

☐ **Deposit corresponding to the entire current year of membership**

The membership dues deposit may be paid by bank transfer, by credit card; by cheque. Payment details are given on the last page of this application form. Please consult the Membership Dues Guide.

☐ **Report of activities in two or more States and proof of out posted legally registered offices**

➲ *This is only required for International Non-Governmental Organisations.*

☐ **Statement by the head of the agency setting forth its competence to adhere to the Statutes**

➲ *This is only required for Government agencies.*

The statement is available for signature on page 16 of this application form.

We can only process your application if all of the above has been received by the relevant application deadline.

[19] Operating expenditure is defined as the expenditure arising in the course of ordinary activities of the organisation and which is considered to be recurrent and annual. Operating expenditure does not include one-time investments.
[20] In good standing means that the Member is up-to-date in the payment of its IUCN membership dues.
[21] When letters of endorsement are submitted by IUCN Councillors or Honorary Members, any formal or informal relationships with the applicant must be detailed and disclosed at the time of endorsement.

Category of IUCN membership applied for:

(please tick one of the boxes)

- ☐ Government agency
- ☐ National non-governmental organisation
- ☐ International non-governmental organisation
- ☐ Indigenous peoples' organisation
- ☐ Affiliate (non-voting Member)

General Information

(please enter the text in the frames or tick as appropriate)

Name of organisation *(in your own language if you use the Roman alphabet)*:

Official translation of your organisation's name into English:

Acronym: _____ Date of foundation of your organisation: (dd/mm/yyyy)

For NGOs, INGOs and IPOs: Please indicate the amount of your organisation's annual operating expenditure in US dollars, corresponding to your latest annual audited report: USD

Preferred IUCN official language of your organisation: ☐ English ☐ Spanish ☐ French

Address

Street Address:

Street & Street Nr: _____

City: _____ Postal code: _____

Province/State: _____ Country: _____

Telephone: Country code + _____ Area code _____ Number _____

Fax: Country code + _____ Area code _____ Number _____

Email: _____

Website: _____

Mailing address *(if different from the street address)*:

Street & Street Nr or P.O. Box: _____

City: _____ Postal code: _____

Province/State: _____ Country: _____

Contacts for relations with IUCN

Please indicate in the sections below the contact details for the staff from your organisation who will be the main contact persons for relations with IUCN. It is important that you inform IUCN on a regular basis of any changes linked to these contacts (eg. staff leaving the organisation, change of e-mail address, etc), so that we can keep our database up-to-date.

Primary contact

This person will receive all correspondence from IUCN and is responsible for dissemination within your organisation. If you wish to nominate additional primary contacts, please contact the Membership Focal Point in your region.

Title: (Mr/ Mrs/Ms/Dr/ Prof /Other) _____ ☐ Male ☐ Female

First name: _____

Family name: _____

Position: _____

Department: _____

Telephone: Country code + _____ Area code _____ Number _____

Email _____

Preferred language for receiving correspondence ☐ English ☐ Spanish ☐ French

Financial contact

This person will receive the invoice for the payment of membership dues and will be contacted for any membership dues issues. If you wish to nominate additional financial contacts, please contact the Membership Focal Point in your region. *(To be filled in case it is a different person than main contact mentioned above)*

Title: (Mr/ Mrs/Ms/Dr/ Prof /Other) _____ ☐ Male ☐ Female

First name: _____

Family name: _____

Position: _____

Department: _____

Telephone: Country code + _____ Area code _____ Number _____

Email _____

Preferred language for receiving correspondence ☐ English ☐ Spanish ☐ French

N.B. The annual invoice will be sent in the preferred language of your organisation as indicated above.

Head of organisation

Please indicate the name of your Head of organisation (CEO/Director General, etc). This person will only be contacted for matters of the highest importance, e.g. to designate the Head of Delegation for Congress, for any electronic ballots, etc. *(Please complete this section even if the person is the same as the contacts entered above.)*

Title: (Mr/ Mrs/Ms/Dr/ Prof /Other) _____ ☐ Male ☐ Female

First name: _____

Family name: _____

Position: _____

Department: _____

Telephone: Country code + _____ Area code _____ Number _____

Email _____

Preferred language for receiving correspondence ☐ English ☐ Spanish ☐ French

Authorized vote holder

The "Authorized vote holder" is the person who is authorized by the Member to receive the link to the electronic system and to cast the Member's vote(s) when electronic votes take place. This role will be allocated by default to the person holding the role of "Head of Organisation" for NGOs, and to the person holding the role of "Primary Contact" for States and Government agencies. If this role should be allocated to someone else, please indicate their contact details below:

Title: (Mr/ Mrs/Ms/Dr/ Prof /Other) _____ ☐ Male ☐ Female

First name: _____

Family name: _____

Position: _____

Department: _____

Telephone: Country code + _____ Area code _____ Number _____

Email _____

Preferred language for receiving correspondence ☐ English ☐ Spanish ☐ French

Information about your organisation:

➲ *This is only required for national and international NGOs and NGOs applying as Affiliates*

Is your organisation a not-for-profit entity which conforms with the law of the State where its seat is located? ☐ Yes ☐ No

Does your organisation have a transparent, accountable and representative governance structure?[22] ☐ Yes ☐ No

Does your organisation have a board that is autonomous and independent?[23] ☐ Yes ☐ No

Does your organisation have a substantial record of activity in the conservation of nature? Provide concrete examples in the "Achievements" section of this form. ☐ Yes ☐ No

➲ *This is only required for universities or similar institutions:*

Is your organisation autonomous in administration and governance[24] ☐ Yes ☐ No

➲ *This is only required for International NGOs [IUCN Regulations, Paragraph 6] and for International NGOs applying as Affiliates:*

List the countries in which your organisation has activities:

List the countries in which your organisation has out posted or country offices reporting back to headquarters[25]:

Is the governing body of your organisation open to nationals from at least two States? ☐ Yes ☐ No
If yes, please specify their nationalities when more than one:

Does your organisation have a substantial record of activity in the conservation of nature? Provide concrete examples in the "Achievements" section of this form. ☐ Yes ☐ No

➲ *This is only required for Indigenous peoples' organisations applying for IPO membership*

Is your organisation a not-for-profit entity which conforms with the law of the State where its seat is located? ☐ Yes ☐ No

Is your organisation autonomous in administration and governance?[24] ☐ Yes ☐ No

Does your organisation have, as its primary constituency, indigenous peoples and is it established by indigenous peoples for the advancement of indigenous communities? ☐ Yes ☐ No

Does your organisation have a substantial record of activity in the conservation of nature? Provide concrete examples in the "Achievements" section of this form. ☐ Yes ☐ No

[22] Is deemed to mean that the statutes/articles, regulations/bylaws or other constitutive institutional instruments provide for a governance structure that affords the members of the organisation and/or its Board, fair and adequate participation in the business and governance of the organisation, that require the organisation to be transparent and accountable in its activities, finances and policies, and that such provisions are adhered to in the day-to-day business of the organisation.

[23] Is deemed to mean a board whose decision-making processes adhere to the provisions contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and are not controlled or unduly influenced through financial or other pressures exerted by government agencies or public or private entities.

[24] Is deemed to mean an organisation whose decision-making processes adhere to the provision contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and is not controlled or duly influenced through financial or other pressures exerted by government agencies or public or private entities.

[25] Means that the organisation must operate and have activities (i.e. concrete projects) in two or more States. The organisation must have a Headquarter and two or more outposted countries offices reporting back to it. Outposted staff based or hosted in partner organisations in other countries cannot be considered as outposted offices.

Applicant's Mission, Objectives and Activities

(for all categories)

As per the Statutes, "the applicant has as one of its central purposes the achievement of IUCN's objectives and a substantial record of activity in the conservation of nature and natural resources.
The objectives and track record of the applicant[26] embody to a substantial extent :

(i) the conservation of the integrity and diversity of nature; and, either or both:
(ii) the aim to ensure that any use of natural resources is equitable and ecologically sustainable;
(iii) dedication to influencing, encouraging and assisting societies to meet the objectives of IUCN"

[Statutes, Article 7 (b) and (c)]

IMPORTANT: This section will be used to notify IUCN Members of your application and in the documentation submitted to IUCN Council without editing. Please stick to the maximum number of words indicated for each field otherwise part of your text will be cut.

Name of organisation

Country:

Description of your organisation/institution:
Maximum 100 words

Mission/Vision of your organisation/institution:
Maximum 100 words

[26] These can take many forms, including field action, community involvement, research in the natural and social sciences, policy development, advocacy, legal activities, education and public awareness, and fundraising where these are for purposes in line with the mission of IUCN. While determining the relative importance of an activity is necessarily to some extent subjective, it is here considered that "substantial" can be assessed in terms of the applicant's programme and projects, resource allocations, organisational structures and outputs.

Summary of your organisation's/institution's objectives as they appear in your Statutes / Bylaws / Articles of Association / other statutory document:
Maximum 300 words

Achievements: Describe your organisation's/institution's main achievements over the last three years and indicate any IUCN projects, involving IUCN Members or not, in which your organisation has been involved (i.e. projects which have already been implemented, etc).
Maximum 500 words

Additional questions:

Provide concrete examples of how your organisation contributes to conserving the integrity and diversity of nature:

IUCN's Sustainable Use Policy is central to the achievement of its objectives. This policy requires that all use of natural resources be sustainable, but does not suggest that every species or ecosystems should be used. Does your organisation have a position about sustainable use? If so, please give details. If available in your organization, please provide concrete examples of how your organisation advances the sustainable and equitable use of resources.

Does your organisation carry out any activities that could be seen as conflicting with the conservation of the integrity and the diversity of nature and the sustainable use of resources? If so, please specify.

Is your organisation committed to engage in a respectful and collegial way with other Members of IUCN?

Map the activities of your organisation against the *IUCN Programme 2017-2020*[27], results that IUCN Programme Areas aim to have a positive impact on:

☒ **1: Valuing and conserving nature**
The activities of your organisation ensure that the conservation status of biodiversity is enhanced.

☐ **2: Promoting and supporting effective and equitable governance of natural resources**
The activities of your organisation ensure that IUCN's work on people-nature relations, rights and responsibilities and the political economy of nature is consolidated.

☐ **3: Deploying nature-based solutions to address societal challenges**
The activities of your organisation address the global challenges (climate change, food, development) through the use of nature-based solutions

[27] The *IUCN Programme 2017-2020* identifies three Programme Areas (Valuing and Conserving Nature, Promoting and supporting effective and equitable governance of nature´s use, Deploying nature-based solutions to address societal challenges in climate, food, development) and a related set of thematic results. These Areas target critical issues that need to be addressed to tackle the conservation challenges of today and tomorrow, and to reflect the lessons we have learned in the implementation of previous programmes of work. To read more about the IUCN Programme, please consult our website: https://www.iucn.org/secretariat/about/programme-work-and-reporting/programme

Reason for joining IUCN

- ☐ **To share knowledge**
- ☐ **To network/establish partnerships**
- ☐ **To influence the environmental policy**
- ☐ **Other:**

Maximum 50 words

AUTHORIZATION

➲ ***This page must be completed by the duly authorized Head of agency/organisation/institution.***

As Head of the agency/organisation/institution I hereby confirm that the information contained in this application is correct and that (name of organisation) **shares and supports the objectives of IUCN, as required by Regulation 9 of the IUCN Statutes.**

The below area is not protected to allow the inclusion of your electronic signature. (To insert the electronic signature: On the Insert tab, in the Illustrations group, click Picture. Locate the signature that you want to insert. Double-click the picture that you want to insert.) ***PLEASE USE THE ARROW KEY TO MOVE TO THE NEXT FIELD****.*

Title: (Mr/ Mrs/Ms/Dr/ Prof /Other) _____

First name: _____

Family name: _____

Position: _____

Date: (dd/mm/yyyy)

Signature: _____

Additional signature (if required by your organisation):

Title: (Mr/ Mrs/Ms/Dr/ Prof /Other) _____

First name: _____

Family name: _____

Position: _____

Date: (dd/mm/yyyy)

Signature: _____

➲ ***This is only required for <u>Government agencies and Government agencies applying as Affiliates</u>.***

As Head of the agency/institution, I hereby confirm that (name of agency) **is competent to adhere to IUCN Statutes, as required by Regulation 4 of IUCN Statutes** and that this application conforms with the laws of the State in which the agency/institution is located**.**

Title: (Mr/ Mrs/Ms/Dr/ Prof /Other) _____

First name: _____

Family name: _____

Position: _____

Date: (dd/mm/yyyy)

Signature: _____

Methods of payment:

☐ through the corresponding Regional Office *(please contact your Membership Focal Point for further information: https://www.iucn.org/about/union/members/membership-focal-points)*

☒ by **bank transfer** to: **UBS Switzerland AG**.; Place St-François 16, CH-1002 Lausanne, Switzerland

Payable to:
UICN, Union internationale pour la conservation de la nature et de ses ressources * or
IUCN, International Union for Conservation of Nature and Natural Resources *

Swiss francs Account No.	IBAN: CH23 0024 3243 3350 3501 W
US Dollar Account No.	IBAN: CH40 0024 3243 3350 3560 Y
Euro Account No.	IBAN: CH95 0024 3243 3350 3561 B
Sort code: 0243	Swift code: UBSWCHZH80A

IMPORTANT FOR ALL BANK TRANSFERS. Please use the following reference:
Application Deposit for (*add organisation name and country*)

☐ by **bank cheque** made payable to:
UICN, Union internationale pour la conservation de la nature et de ses ressources * or
IUCN, International Union for Conservation of Nature and Natural Resources *

☐ by **credit card**: (Visa / MasterCard) **If paying by credit card please complete the following:**

I authorize IUCN, to charge the credit card listed below:

Amount in Swiss Francs: _____ ☐ Visa ☐ MasterCard

Card number: | | | | | | | | | | | | | | | | |

C.V.V. number: | | | | Expiry date: month | year |

Important: Credit card payments must show the card verification validity number (cvv). This number is the last three (3) numbers found on the signature line on the back of the card. If paying your invoice by credit card, please add this number when completing the form.

Card holder name
(as it appears on the credit card): _____

Billing address:

Street & Street Nr: _____

City: _____ Postal code: _____

Province/State: _____ Country: _____

Date: (dd/mm/yyyy)

Signature: _____

The above area is not protected to allow the inclusion of your electronic signature. (To insert the electronic signature in Word 2007: On the Insert tab, in the Illustrations group, click Picture. Locate the signature that you want to insert. Double-click the picture that you want to insert.) ***PLEASE USE THE ARROW KEY TO MOVE TO THE NEXT FIELD.***

*** It is important that you use the exact name in English or in French under which IUCN is legally registered in Switzerland or the bank transfer will fail.**

(IUCN, International Union for Conservation of Nature and Natural Resources is registered as an international association of governmental agencies and non-government organisations under article 60 of the Swiss Civil Code. Our Swiss registration number is CHE-106.516.604 and with VAT number CHE-106.516.604VAT)

Assessment form for membership applications

GA: Government agency | *NG: National non-governmental organisation* | *NC: National/Regional Committee*
IN: International non-governmental organisation | *IP: Indigenous peoples' organisations* | *AF: Affiliates* | *CL: Councillor* | *RO: Regional office*

Applicant category and ID number:	
Organisation name (original):	
Organisation name (in English[1]):	
Country/territory/State and Statutory Region:	
To be presented for admission on/in: (by MU)	

	What needs to be checked by category							Due diligence checks[2]				Does it meet IUCN require-ments?	Clarification on why it does not meet IUCN requirements?
Ref	**Requirement / admission criteria**	**GA**	**IN**	**NG**	**Univ.[3]**	**IP**	**AF[4]**	**NC**	**CL**	**RO**	**Web**	**Yes –no - n/a**	
Art. 5b	Forms part of the State Machinery	x					x (for GA only)						
Art. 5d/e	Incorporated within a State *[document of incorporation (not compulsory to send) OR applicant's statutes]*		x	x	x		x (for IN/ NG/Univ. only)						
Art. 5f	Shall be institutions and associations established by indigenous peoples for the advancement of indigenous communities *[applicant's statutes/incorporation doc.]*					x	x (for IP only)						
Art. 7a	Shares and supports IUCN objectives *[applicant's statutes]*	x	x	x	x	x	x						
Art. 7b	Has one of its central purposes to achieve IUCN's objectives around nature conservation (described in Art. 2) *[applicant's statutes]*	x	x	x	x	x	x						
Art. 7b	Has substantial record in conservation of nature *[Application Form > Achievements]*	x	x	x	x	x	x						
Art. 7c	Objectives and track record embody: *i) conservation of the integrity and diversity of nature; and, either or both[5]:* ii) *aim to ensure that any use of natural resources is equitable and ecologically sustainable* iii) *dedication to influencing, encouraging and assisting societies to meet the objectives of IUCN*	x	x	x	x	x	x						

[1] This should be the official existing translation or an agreed translation as provided by a reliable translator. MFPs should check that the translation is accurate. UDG can assist with the translation of the name if necessary.
[2] Relevant National Committees or Regional Committees, if any, Regional Offices and regional Councillors will be requested to answer a set of questions to confirm that the applicant meets with IUCN requirements.
[3] Universities are part of the NG category, but have to fulfil slightly different criteria.
[4] GA/IN/NG/IP wishing to apply as AF are still required to fulfil the basic requirements of GA/IN/NG/IP respectively. Indications are provided in the AF column accordingly. For example for a GA applying as AF, it is essential that this GA complies with Article 5(b) of the Statutes, being one of the criteria for admission of a GA. Whereas, an NG/IN would have to comply with Article 5 (d/e) of the Statutes but not 5 (b).
[5] Has to meet criterion (i) and at least one of the criteria (ii) or (iii).

	What needs to be checked by category							Due diligence checks[2]				Does it meet IUCN require-ments?	Clarification on why it does not meet IUCN requirements?
Ref	**Requirement / admission criteria**	**GA**	**IN**	**NG**	**Univ.[3]**	**IP**	**AF[4]**	**NC**	**CL**	**RO**	**Web**		
Art. 7d	Does not pursue activities that conflict with IUCN's objectives/activities *[applicant's statutes]*	x	x	yes	x	x	x	x	x	x	x		
Additional questions set by GCC	1) Contributes to conserving the integrity and diversity of nature.		x	x	x	x	x	x	x	x	x		
	2) Confirms that the IUCN's Sustainable Use Policy is central to the achievement of its objectives. This policy requires that all use of natural resources be sustainable, but does not suggest that every species or ecosystems should be used. The applicant confirms its position on sustainable use and concrete examples are provided.		x	x	x	x	x	x	x	x	x		
	3) Has a substantial record of activity in the conservation of nature *[Achievements section of application form]*		x	x	x	x	x	x	x	x	x		
	4) Does not carry out any activities that could be seen as conflicting with the conservation of the integrity and the diversity of nature and the sustainable use of resources.		x	x	x	x	x	x	x	x	X		
	5) Confirms that it is committed to engage in a respectful and collegial way with other Members of IUCN?		x	x	x	x	x	x	x	x	x		
Reg. 5a(i) Reg. 5b(i) Reg. 5bis(i) Reg. 6a	Is Not-for-profit *[applicant's statutes]*		x	x	x	x	x (for IN/ NG/Univ. only)			x	x		
Reg. 5a(ii) Reg. 5b(ii) Reg. 5bis(ii) Reg. 6b	Has been in existence for at least 3 years *[document of incorporation (not compulsory to send) OR applicant's statutes]*		x	x	x	x	x (for IN/ NG/Univ. only)			x	X		
Reg. 5a(iii) Reg. 6f	Has a board that is autonomous and independent[6] *[applicant's statutes]*		x	x			x (for IN/NG only)			x	x		

[6] Is deemed to mean a board whose decision-making processes adhere to the provisions contained in the statutes/articles, regulations/bylaws and other constitutive institutional instruments, and are not controlled or unduly influenced through financial or other pressures exerted by government agencies or public or private entities.

	What needs to be checked by category							Due diligence checks[2]				Does it meet IUCN require-ments?	Clarification on why it does not meet IUCN requirements?
Ref	**Requirement / admission criteria**	**GA**	**IN**	**NG**	**Univ.[3]**	**IP**	**AF[4]**	**NC**	**CL**	**RO**	**Web**		
Reg. 5b (iv) Reg. 5bis(iii)	Is autonomous in administration and governance *[applicant's statutes]*				x	x	x (for Univ.only)			y	Y		
Reg. 5a (iv) Reg. 6e	Has a transparent, accountable and representative governance structure[7] *[applicant's statutes]*		x	x			x (for IN/NG only)			y	y		
Reg. 5b (iii)	Is an academic or professional entity of high standing				x		x (for Univ.only)						
Reg. 5bis(iv)	Has, as its primary constituency, indigenous peoples *[applicant's statutes]*.					x	x (for IP only)						
Reg. 6c	Has a substantial record of activity in two or more States and out posted or country offices[8] *[Application Form > Mission, Objectives and Activities]*		x				x (for IN only)						
Reg. 6d	Board is open to nationals from at least two States[9] *[applicant's statutes]*		x				x (for IN only)						

What documents need to be provided by category and what needs to be done by IUCN							Does it meet IUCN requirements?	Clarification on why it does not meet IUCN requirements?
Ref	**Requirement / admission criteria**	**GA**	**IN**	**NG (incl. Univ)**	**IP**	**AF**	**Yes –no - n/a**	
Reg. 4	Authorization to adhere to IUCN Statutes, is signed by Head of the Organisation *[Application Form, page 14-15, signature page)*	x				x (for GA only)		
Reg. 7, 9	Application form and authorization, endorsing IUCN's objectives, is signed by Head of the Organisation *[Application Form, page 14-15, signature page)*	x	x	yes	x	x		

[7] Is deemed to mean that the statutes/articles, regulations/bylaws and other constitutive institutional instruments provide for a governance structure that affords the members of the organisation, and/or its Board, fair and adequate participation in the business and governance of the organisation, that require the organisation to be transparent and accountable in its activities, finances and policies, and that such provisions are adhered to in the day-to-day business of the organisation.

[8] Means that the organisation must operate and have activities (i.e. concrete projects) in two or more States. The organisation must have a Headquarter and two or more outposted countries offices reporting back to it. Outposted staff based or hosted in partner organisations in other countries cannot be considered as outposted offices.

[9] The Organisation's Statutes should state that their Board is open to nationals from other countries (if not, written confirmation is required). NB: If the current Board is composed of nationals from only one country, it does not necessarily imply that it is closed to other nationalities: check!!

What documents need to be provided by category and what needs to be done by IUCN							Does it meet IUCN requirements?	Clarification on why it does not meet IUCN requirements?
Ref	**Requirement / admission criteria**	**GA**	**IN**	**NG (incl. Univ)**	**IP**	**AF**	**Yes –no - n/a**	
Reg. 8	Letters of endorsement (min. 2) from IUCN Members in good standing[10] or from IUCN National/Regional Committees or from IUCN Councillors or Honorary Members *(providing that there are no conflict of interest for the last two groups[11])*: **(if letters come from IUCN Members, indicate Member ID, name of org, country)**		x	Yes	x	x (for NG/IN/IP only)		
	Statutes/Bylaws/Constitution document(s) received		x	Yes	x	X (for NG/IN/ IP only)		
	Financial report validating operational expenditures of USD[12] received		x	Yes	x			
Reg. 10	Deposit of CHF[13]: processed on by credit card / bank transfer / cheque / through Regional office *(by MFP)* Received at HQ on: *(by MU)*	x	x	yes	x	x		
MU process	Assessment form completed *(by MFP) and checked by MU*	x	x	Yes	x	x		
MU process	Relevant IUCN Programme/country office staff do not have any particular issues with the applicant *(by MFP)*	x	x	Yes	x	x		
MU process	Organisation, application form and documents entered in CRM *(by MFP)* *[!! CHECK: original and English name, website, text length for description, mission, objectives and achievements]*	x	x	yes	x	x		

MFP/UDG comments

Completed on: by:

[10] "In good standing" means that the Member has paid all of its outstanding membership dues up to and including the year preceding the date when Council considers the application. It is the responsibility of the applicant to find endorsers.

[11] When letters of endorsement are submitted by IUCN Councilors or Honorary Members, any formal or informal relationships with the applicant must be detailed and disclosed at the time of endorsement. Letters of endorsement shall indicate that the seconder knows well the applicant organisation and its activities and therefore can confirm to IUCN that the applicant meets all the requirements prescribed in the IUCN Statutes and Regulations to be accepted as an IUCN Member. Letters of endorsement should address the set of questions approved by GCC.

[12] Operational expenditure is considered as annual and recurring expenses (staff salaries, building rental, administration costs, etc).

[13] Deposit equals the first year of Membership dues. Once the applicant is admitted, the deposit will be re-calculated pro-rata based on the Member admission date, and the difference carried forward. If not admitted, the deposit will be refunded.

ENGLISH

Questions for applicants

(in blue: questions to be asked to controversial applicants until new application form is published)

1. Provide concrete examples of how your organisation contributes to conserving the integrity and diversity of nature?

2. IUCN's Sustainable Use Policy is central to the achievement of its objectives. This policy requires that all use of natural resources be sustainable, but does not suggest that every species or ecosystems should be used. Does your organisation have a position about sustainable use? If so, please give details. If available in your organization, please provide concrete examples of how your organisation advances the sustainable and equitable use of resources.

3. Does your organisation have a substantial record of activity in the conservation of nature? Provide concrete examples in the "Achievements" section of this form.

4. Does your organisation carry out any activities that could be seen as conflicting with the conservation of the integrity and the diversity of nature and the sustainable use of resources? If so, please specify.

5. Is your organisation committed to engage in a respectful and collegial way with other Members of IUCN?

Questions for endorsers & Councillors, National/Regional Committees

1. Are you aware of the existence of this organisation?

2. What is your relation/interaction with applicant, including how long have you known the applicant and how familiar are you with the applicant´s activities/objectives/policies?

3. Are you satisfied that the organisation complies with criteria listed in Article 7 of the IUCN Statutes?
   - the organisation's activities to date embody the conservation of the integrity and diversity of nature,
   - the organisation aims to ensure the equitable and ecologically sustainable use of natural resources;
   - the organisation aims to influence and encourage the meeting of IUCN objectives?
   - Is the organisation involved in any activities that conflict with the objectives of IUCN, i.e. that could be seen as conflicting with the conservation of the integrity and the diversity of nature and the sustainable use of resources?

4. Can you provide details of a/some project(s) this organisation was involved in (and to what extent) to support any of the above? (conservation track record)

5. How can the applicant contribute to advancing IUCN´s Mission?

FRENCH

Questions for applicants

(in blue: questions to be asked to controversial applicants until new application form is published)

1. Veuillez fournir des exemples concrets de la façon dont votre organisation contribue à conserver l'intégrité et la diversité de la nature?

2. La politique d'utilisation durable de l'UICN est essentielle à la réalisation de ses objectifs. Cette politique exige que toute utilisation des ressources naturelles soit durable, mais ne suggère pas que chaque espèce ou chaque écosystème devrait être utilisé. Est-ce que votre organisation a une position sur l'utilisation durable? Si oui, veuillez fournir des précisions. Si disponible dans votre organisation, veuillez fournir des exemples concrets de la façon dont votre organisation fait progresser l'utilisation durable et équitable des ressources.

3. Est-ce que votre organisation a un nombre conséquent d'activités dans le domaine de la conservation de la nature ? Veuillez fournir des exemples concrets dans la section « Réalisations » de ce formulaire.

4. Est-ce que votre organisation pratique des activités qui pourraient être considérées comme étant en conflit avec la conservation de l'integrité et de la diversité de la nature et de l'utilisation durable des ressources? Si oui, veuillez spécifier.

5. Votre organisation est-elle dévouée à s'engager d'une manière respectueuse et collégiale avec les autres Membres de l'UICN?

Questions for endorsers & Councillors, National/Regional Committees

1. Êtes-vous au courant de l'existence de cette organisation?

2. Quelle est votre relation/interaction avec cette organisation et depuis quand la connaissez-vous? Est-ce que les activités / objectifs / politiques de cette organisation vous sont familiers ?

3. Estimez-vous que l'organisation est conforme aux critères énoncés par l'article 7 des Statuts de l'UICN ?
   - les activités de l'organisation à ce jour incarnent la conservation de l'intégrité et la diversité de la nature;
   - L'organisation a pour but de s'assurer de l'utilisation équitable et écologiquement durable des ressources naturelles;
   - L'organisation a-t-elle pour but d'influencer et d'encourager l'atteinte des objectifs de l'UICN?
   - L'organisation est-elle impliquée dans des activités qui entrent en conflit avec les objectifs de l'UICN? C'est-à-dire qui pourraient être vues comme étant en conflit avec la conservation de l'intégrité et de la diversité de la nature et de l'utilisation durable des ressources?

4. Pouvez-vous donner les détails d'un ou plusieurs projet(s) dans lequel/lequels cette organisation a contribué (et dans quelle mesure) afin d'appuyer les points susmentionnés? (historique dans le domaine de la conservation)

5. Comment l'organisation peut-elle contribuer à l'avancement de la Mission de l'UICN?

SPANISH

Questions for applicants

(in blue: questions to be asked to controversial applicants until new application form is published)

1. Provea ejemplos concretos sobre cómo su organización contribuye a la conservación de la integridad y diversidad de la naturaleza.

5. La Política de Uso Sostenible de la UICN es primordial para el logro de sus objetivos. Esta política requiere que todo uso de los recursos naturales sea sostenible, pero no sugiere que cada especie o cada ecosistema deba ser usado. ¿Su organización tiene una posición con respecto del axioma uso sostenible? Si es así, por favor proporcione detalles. Si está disponible en su organización, por favor proporcione ejemplos concretos sobre cómo su organización avanza hacia la consecución de sus objetivos mediante el uso sostenible y equitativo de los recursos.

6. ¿Su organización tiene un registro substancial de actividades relacionadas con la conservación de la naturaleza? Proporcione ejemplos concretos en la sección “Logros” de este formulario.

7. ¿Considera que su organización ha llevado a cabo actividades que pudiesen ser vistas como conflictivas con la conservación de la integridad y la diversidad de la naturaleza y el uso sostenible de los recursos? Si es así, por favor especifique.

5. ¿Su organización se compromete a relacionarse de una manera respetuosa y a trabajar de manera colegiada con otros Miembros de la UICN?

Questions for endorsers & Councillors, National/Regional Committees

1. Conoce la existencia de esta organización?

2. Cuál es su relación / interacción con esta organización y desde cuando la conoce ? Le son familiares sus actividades / objetivos / políticas ?

3. Cree que esta organización cumple con los criterios estipulados en el artículo 7 de los Estatutos de la UICN ?
   - las actividades de la organización, a día de hoy, incorporan la conservación de la integridad y la diversidad de la naturaleza;
   - La organización tiene como objetivo garantizar el uso equitativo y ecológicamente sostenible de los recursos naturales;
   - La organización tiene como finalidad influenciar y promover la consecución de los objetivos de la UICN?
   - La organización está implicada en actividades que entran en conflicto con los objetivos de la UICN? Es decir, actividades que podrían ser percibidas como incompatibles con la conservación de la integridad y diversidad de la naturaleza y el uso sostenible de los recursos naturales?

4. Puede darnos detalles de uno o varios proyectos en los que esta organización ha contribuido (y en qué medida) a apoyar los puntos mencionados? (cronología en el ámbito de la conservación)

5. Como puede contribuir esta organización en el avance de la Misión de la UICN?

IUCN Council

Work Group on
WCC-2016-Res-003 - *Including regional governments in the structure of the Union*

Terms of Reference 2017-2020
(Approved by the IUCN Council at its 94th Meeting)

Background

1. The issue of local government membership was considered at the 18th Session of the General Assembly in Perth, Australia 1990; and at the First Session of the World Conservation Congress in Montreal, Canada 1996. On both occasions, proposals for amendments of the Statutes to allow local and regional governments to become Members were soundly rejected by the IUCN membership.

2. In 2002, Council Decision C/57/26 requested the Governance Task Force to further review the possibility of including local or subnational government organizations as Members of IUCN. In 2004, Council on the recommendation of the Membership Committee and based on legal advice noted that environmental agencies of local government bodies were eligible for admission under membership Category A (a) - Government Agencies, and decided not to propose a statutory change concerning local government membership at this time (decision C/60/47).

3. In 2008, the World Conservation Congress Resolution 4.008 requested Council to seek legal and technical advice on how local and regional authorities might be included in the structure of the Union and to make recommendations to the 5th Session of the World Conservation Congress for reform of the IUCN Statutes, as appropriate. After a period of consultations (2009-2010) and given the diversity of views represented, Council undertook an additional round of consultation with the IUCN membership during the Regional Conservation Fora (May to October 2011) where all IUCN Members were invited to discuss three options for including local government membership. After this consultation and further deliberation, Council decided to submit two options for the consideration of the 2012 World Conservation Congress in Jeju. Both options failed to obtain the required 2/3 majority[1]. The World Conservation Congress rejected both the clarification of the status quo (option 2) and the proposed change (option 1). The IUCN Council 2012-16 subsequently considered it justified to continue to study this issue including whether to make recommendations to the next Congress.

4. In 2015, Council, upon recommendation of the Governance and Constituency Committee (GCC) and Council document C/85/5.3.1.2.1.3, agreed to consult the IUCN membership online and during all the Regional Conservation Fora held in 2015 on the two options for including LRGA in the structure of IUCN which failed to achieve the required 2/3 majority during the 2012 Congress. In 2016, a motion submitted to the 2016 WCC by five Government Agency Members, to amend the Statutes to include local and regional government authorities in the structure of the Union led to the cessation of any further consideration of this topic by Council. The motion in its original version, which proposed to amend the Statutes creating a new sub-Category in Category A called “local or regional governmental authorities” exercising collectively one vote, was amended by the contact group to apply only to regional governments which together with Government Agency Members of the State concerned would constitute a sub-Category in Category A and would together exercise one vote. This motion was voted

[1] Voting result for option 1: 65.81% for versus 34.19% against in Cat. A and 68.29% for versus 31.71% against in Cat. B. Option 2: 65.66% for versus 34.34% in Cat. A and 74.16% versus 25.84% in Cat. B.

down by both Categories A and B and by a greater number of Members than at the previous Congress[2]. Instead, Congress approved WCC-2016-Res-003[3]:

WCC-2016-Res-003: Including regional governments in the structure of the Union
The World Conservation Congress, at its session in Hawai'i, United States of America, 1-10 September 2016: REQUESTS the IUCN Council to establish a Working Group composed of Councillors and Members on the role and membership of local and regional governments in IUCN, including the wider engagement among IUCN members and other Parties in order to analyze the need and effects, develop a clear definition of regional government, and formulate a comprehensive and well considered new recommendation for the next Congress.

5. At its meeting in February 2017, the IUCN Council adopted a series of measures to implement the resolutions adopted by WCC-2016 and requested its Governance and Constituency Committee to take the lead on resolution WCC-2016-Res-003. In this way, the pre-Working Group on including regional governments in the structure of the Union was created during the meeting, whose members[4] developed the present ToR and guidance for the work of the Working Group required by WCC-2016-Res-003.

Objective

6. The objective of the Working Group is to through an inclusive engagement process formulate a comprehensive and well considered recommendation for the next Congress on the definition and possible inclusion of local and regional governments in the structure of the Union. The recommendation should be based on a thorough analysis of the needs and effects of inclusion while taking into consideration all previous work that has been done in this regard in IUCN and in accordance with the request provided by the Members' Assembly in WCC-2016-Res-003.

Functions

7. Establish and implement a Work Plan for:

a. Developing a clear definition of regional and local governments in the context of Resolution 003, considering the diversity of governance structures globally.
b. Analyze the needs and effects of the inclusion of local and regional governments for IUCN, at a broad level including for the effectiveness of IUCN mandate, finance, governance and programme delivery.
c. Identify and elaborate the best option(s) for possible inclusion of local and regional governments into the structure of the Union while taking into consideration the previous debates/ discussions and good approaches from within the Union.
d. Analyze the effects of the different options of the possible inclusion of local and regional governments on IUCN.
e. Formulate a comprehensive and well considered new recommendation for Council approval.

Modus Operandi

8. Following the sequence of steps detailed in the "Functions" section, Working Group members will primarily implement their work through e-mail and conference calls.

[2] Voting result: 34.56% for versus 65.44% against in Cat. A and 38.73% for versus 61.27% against in Cat. B.
[3] Voting result: 83.47% for versus 16.53% against in Cat. A and 84.53% for versus 15.47% against in Cat. B.
[4] Norbert Baerlocher, Jesca Osuna Eriyo, Mangal Man Shakya, Shaikha Salem Al Dhaheri, Hilde Eggermont, Tamar Pataridze, Jan Olov Westerberg and Jenny Gruenberger, with support from the IUCN Secretariat.

9. The Working Group will be assisted by the Global Director of the Union Development Group, as requested, who will provide administrative and technical support within the available budget.

10. Once the Working Group has agreed on the options and these are approved by Council, the Working Group will decide on the process to be used in order to reach consensus, building on previous good practices (e.g. consultation with the membership at Regional Conservation Fora).

11. Feedback received from the Members will be consolidated by the Working Group and reported back to Council for endorsement.

12. The Working Group will report on its progress to the GCC every six months (including at each meeting of the Council) and deliver a final recommendation to Council in time for its presentation and consideration at the 2020 Congress taking into account statutory deadlines for Congress documents and/or proposals to amend the Statutes, as the case may be.

Composition

13. The Working Group should not exceed 20 members, and be composed of:

a. Up to five Council members (incl. the Working Group Chair), with proper understanding of the variety of States;
b. One legal expert from WCEL; and one expert from another Commission;
c. Up to five State members across the different Statutory Regions;
d. Up to three representatives of existing local and regional government agency Members of IUCN;
e. Up to three other interested parties associated with IUCN with relevant knowledge and experience in the role of local and regional governments in conservation of nature.
f. Two support persons from the IUCN Secretariat who will be ex-officio members of the WG ;

14. The Working Group should include a wide spectrum of opinions and include individuals with technical knowledge on this issue.

Duration

15. The Working Group will be in force until it delivers a final recommendation to Council in time for its presentation and consideration at the 2020 Congress.

Terms of reference for an external review of aspects of IUCN's governance (2018)

Approved by the IUCN Council at its 94th meeting (May 2018)

Rationale

IUCN's governing body, the Council, seeks an independent consultant for a participatory review of IUCN's governance.

For the purpose of this review, IUCN governance is defined as the combination of processes and structures as overseen by the IUCN Council and implemented by the IUCN Council and its Bureau, Members, Secretariat and Commissions to inform, direct, manage, and monitor the organization's activities toward the achievement of its objectives. Good governance in IUCN entails the application of the following principles:

- Leadership, organizational performance management and accountability
- Delegation
- Stewardship, controlling and risk management
- Integrity
- Transparency, access to information and public participation
- Inclusiveness, diversity and renewal

Particular focus should be given to measuring alignment with industry best practice on corporate governance, including but not limited to appropriate information/ disclosure flows, transparency and communications including between these different components and the effectiveness with which Council is able to carry out its statutory role, while recognising IUCN's unique role as a conservation organisation and global leader composed of an active membership base.

In response to a review carried out in 2015 Council adopted a package of reforms including carrying out independent reviews of IUCN's governance at least once every four years. Council presented an extensive report on these reforms to the 2016 IUCN World Conservation Congress upon which the Congress adopted the amendments to the Statutes proposed by Council as part of the reforms. For additional background see Annex 1 to Terms of Reference: Further context and background on governance in IUCN.

This review is commissioned as a result of these reforms and based on the meeting of the Governance and Constituency Committee of the IUCN Council (7 February 2018) to improve overall governance taking into account the roles and relationships between different parts of IUCN.

Purpose and scope

The overall purpose of this review is to contribute to the continued improvements in the effectiveness of IUCN's governance structures and functions including, in particular, the statutory role Council has to ensure the accountability of IUCN's six Commissions (networks of experts) and the Secretariat. The review will provide recommendations for reforms and/or enhanced practices to further ensure alignment with international best practice in principles of good governance.

The **specific objectives** for the review in 2018 are:

1) To review the effectiveness of the governance roles and relationships between constituent parts of the Union (Council, Bureau, Secretariat, Commissions, Members and National and Regional Committees) and the principles needed to improve governance.

2) To assess progress and review the effectiveness of the implementation of the Council's Management Response to the External Review of Aspects of IUCN's Governance (2015), in particular items of the "Enhanced practices and reforms of IUCN's governance".

3) To review governance aspects of the Commissions in light of the measures included in the aforementioned "Enhanced Practices and Reforms", as specified below:

> *Council is to commission a quadrennial external review of the Commissions including their mandates, as part of the quadrennial "External Review of IUCN's governance" (see hereafter C4.). The purpose will be to ensure necessary renewal of existing Commissions and broader renewal of Commissions or other network mechanisms to meet the knowledge generation, expert and Programme delivery needs of the Union. These will have to be done well before the date fixed for filing nominations for Commission Chairs, and possibly mid-way into the 4 year inter-sessional period.* (A4.7, Enhanced practices and reforms of IUCN's governance)

> *Ensure that Council commissions an external review of IUCN's governance at least every four years, to be delivered in time to inform a Council 'strategy session' at mid-term. The Terms of Reference and scope of the external review shall be established by Council. They shall include the review of the IUCN Commissions as described in A4.7 [below]. The Management Response to the external reviews of IUCN's governance shall be made by the Council with the understanding that with regard to the Commissions, the responsibility for the Management Response shall be shared between Council and the Director General. Provision for review should be included in the IUCN budget.* (C4, Enhanced practices and reforms of IUCN's governance)

It should be noted that a substantive review of the programmatic contributions of the Commissions or their mandates is outside the scope of this review. The evaluator is invited to make use of findings of recent External Reviews concerning the Commissions.

Audience and intended use

The main target group for this review is the Council who will prepare a formal Management Response to the recommendations of the review and specify, as appropriate, intended results, activities, and timelines. The Council will share the responsibility for responding to recommendations on Commissions with the Director General.

The Director General will also give her response to the specific aspects relating to them where appropriate in the final report.

Approach and methodology

The review should be carried out in a participatory manner, including through consultation of the Governance and Constituency Committee (GCC) of Council in the finalisation of review questions as well as the participation of other relevant stakeholders.

The specific **methodology** should be outlined by the evaluator in an inception note, but is expected to include at least:

1) The consultant will define a governance maturity model specific to IUCN, where maturity is assessed at the organizational level and for each of the six commissions. Recommendations should be provided for each level of analysis and for each of the commissions (max 3 per commission).

2) Define what constitutes adequate comparisons or benchmarks in terms of good corporate governance. For instance, this might follow The Institute of Internal Auditors' *Assessing organizational governance in the public sector* (October 2014)[1] and other relevant literature

[1] https://www.iia.nl/SiteFiles/IIA_leden/PG%20Assessing%20Organizational%20Governance%20in%20the%20Public%20Sector.pdf

such as ICGN Global Governance Principles (2017)[2], King Report on Governance for South Africa (2009)[3], King IV Report for Corporate Governance for South Africa (2016)[4], OECD G20/OECD Principles of Corporate Governance (2015)[5] and the UK Corporate Governance Code (2016)[6] bearing in mind the relevance of such reports for an organisation as IUCN.

3) A review of activities and results of the work undertaken by the Council, Secretariat and Commissions to date in implementing the "Enhanced Practices and Reforms" adopted in response to the External Evaluation of Aspects of IUCN's Governance (2015).

4) Interviews with current Councillors, including in particular representatives of the GCC, the Programme and Policy Committee (PPC) and the Finance and Audit Committee (FAC) and the Chairs of Commissions.

5) Interviews with senior staff in the IUCN Secretariat, a sample of IUCN Members and other stakeholders.

The methods may also include:

6) Focus groups or other facilitated group sessions for making sense of the collected input;

7) Cases studies, featuring deep dives on significant decisions and events; and/or

8) Direct observation of debates at key events to assess dynamics and relationships between stakeholders.

The consultant may also be invited to participate as an observer to one or both the forthcoming Council meetings scheduled April 29-2 May (Gland, Switzerland) and October 6-8 2018 (Jeju, Republic of Korea).

The Governance and Constituency Committee (GCC) of the Council, which is tasked "to assist and provide advice to the Council with a view to maintaining an effective governance […]" (Terms of Reference approved by Council in February 2017), will manage the review with assistance from IUCN's Planning, Monitoring, Evaluation and Risk (PMER) Unit.

At the start of the assignment, the consultant will be provided with:

- Document list with explanatory context in addition to those noted in Annex 2 to Terms of Reference: Documents to consult
- Calendar of upcoming events in the IUCN four-year cycle to provide context for recommendations
- More detail on processes already underway that address governance, such as work on the IUCN Enterprise Risk Policy

This review is expected to meet the principles in the IUCN Monitoring and Evaluation Policy, see in particular section 6.3 Monitoring and evaluation principles and note that section 6.2 Evaluation criteria does not necessarily apply to this review.

The budget for this Review using the above methods is set at 40 000 CHF.

[2] http://icgn.flpbks.com/icgn-global-governance-principles-2017/#p=2
[3] http://c.ymcdn.com/sites/www.iodsa.co.za/resource/resmgr/king_iii/King_Report_on_Governance_fo.pdf
[4] https://c.ymcdn.com/sites/www.iodsa.co.za/resource/resmgr/king_iv/King_IV_Report/IoDSA_King_IV_Report_-_WebVe.pdf
[5] http://www.oecd-ilibrary.org/governance/g20-oecd-principles-of-corporate-governance-2015_9789264236882-en;jsessionid=991fg2omsf1p6.x-oecd-live-02
[6] https://www.frc.org.uk/getattachment/ca7e94c4-b9a9-49e2-a824-ad76a322873c/UK-Corporate-Governance-Code-April-2016.pdf

Qualifications of the evaluator

- Proven track record in participatory and evidence-based review and in reviewing organizational governance, in particular;
- demonstrated track record in delivering "high stakes" reviews/evaluations on time, with a high degree of professionalism and ethical standards;
- deep understanding of governance and management issues of international organizations;
- good command of at least two of IUCN official languages (English, French, Spanish).

Timetable and deliverables

The consultant will be responsible for providing the following **deliverables**:

1) An inception report, including a governance maturity model adapted to IUCN, the review methods, the final research questions, detailed activity planning and stakeholders to be interviewed, survey instruments, the table of contents of the final report and templates for tables, graphs and charts.
2) A benchmarking report, briefly assessing IUCN against the governance maturity model and, to the extent possible, benchmarking IUCN against similar organizations. This report should provide recommendations for areas of governance for future review.
3) A presentation of initial findings related to the enhanced Council practices to be delivered at the GCC meeting to be held during the Council meeting of 6-8 October 2018, Jeju, Republic of Korea.
4) A draft report of maximum 20 pages (excluding annexes), including:

    a) An update on progress and analysis of the implementation of the "Enhanced Practices and Reforms" adopted in response to the External Evaluation of Aspects of IUCN's Governance (2015).

    b) Any additional recommendations for reform / enhanced practices on corporate governance.

    c) Recommendations should be short term (reforms that can be implemented before 2020 period), medium term (that require adoption by the next Members' Assembly in 2020) and long-term (additional considerations of further work to move towards best practice).

5) A final report incorporating relevant feedback from the Chair of GCC and the Director General through the Chair of GCC.
6) A PowerPoint presentation of the key conclusions of the report to be delivered to the GCC at a meeting to be convened in January 2019 (by telephone).

Milestone / deliverable	**Indicative completion date**
Approval of ToR	94th Council meeting
Recruitment of review consultant and start of mandate	End May 2018
Inception note including final review/research questions	End June 2018
Data collection and analysis	June-September 2018
Initial findings on Council practices shared	End September 2018
Presentation of initial findings to GCC in Jeju	6-8 October 2018
Draft report	15 November 2018
Final Report	10 January 2019
Presentation of final report at Council/GCC	January 2019
Council preparation of a management response	April 2019

Annex 1 to Terms of Reference: Further context and background on governance in IUCN

The World Conservation Congress, in particular the Members' Assembly, brings together its membership every four years to, among others, define the general policy, approve the Programme for the period until the next Congress, elect the Council, and amend the Statutes. Between sessions of the Congress, the Council - and acting on its behalf and under its authority, the Bureau - set strategic direction for the Union, provide oversight and guidance for the components of the Union, fulfil fiduciary responsibilities to the membership, and render account to them.

Other components (statutory bodies) of the Union such as the Secretariat, the Commissions, and the Regional and National Committees and Regional Fora, exercise the mandates and the authority assigned to them under the Statutes.

Governance fell within the scope of each External Review of IUCN from 1991 until 2011. In 2015 a separate External Evaluation of Aspects of IUCN's Governance was commissioned and overseen by the GCC.

The In 2015 two external reviews of IUCN – one focused on governance (in particular the Council) and the other focused on IUCN (in particular programme implementation) – led to several actions/responses:

- "Enhanced practices and reforms of IUCN's governance" found in the management response to the review, and adopted by Council in April 2016, notably:
    - A4.7 – a commitment to regular external review of the Commissions
    - C4 – a commitment to regular external review of governance
    - C4.1 – an agreed practice for Council to comment on any governance aspects from future IUCN External Reviews (those focused on programme implementation)

Furthermore, in the Commissions' response to the External Review of IUCN 2015 they re-affirmed the governance relationship between Council and Commissions: "The oversight by Council should be on the annual workplan and budget of each Commission."

Other recent major improvements to governance spearheaded by the Council in the four-year period 2013-2016 are:

- A strengthened Bureau. To improve its ability to act in a timely and effective manner, the Council enhanced the role of the Bureau and Council Committees. This improvement now enables Council to address issues more strategically while still exercising high-level oversight.
- Enhanced accountability of Commissions. The improvements also clarified and strengthened the accountability of Commissions to the Council, and further continued the reporting line of the Commission Chairs to the President. A number of steps were also taken to reduce potential conflicts of interest of the Commission Chairs as members of the Council including the Council's approval of Commission Financial Rules in 2017.
- Pre-Congress approvals of motions. A significant number of motions were approved electronically in advance of Congress. This move follows recommendations from the Members' Advisory Group on Motions and Resolutions Implementation established by the IUCN membership at the 2012 Congress.
- Council sets four year strategic priorities. Keen to find new and more effective ways of operating, Council decided to set 4-year strategic priorities at the start of each term Council approved a strategic planning and reporting framework to oversee the Union's overall performance. It also clarified its role in developing and approving for submission to Congress the draft quadrennial Global Programme as the key instrument for setting the Union's strategic direction.
- A revised & strengthened transparency policy. Council revised its Transparency Policy, making all official Council documents available to donors and the public immediately following each meeting. All Council (and Bureau) decisions continue to be published and input sought from the membership prior to every Council meeting on the basis of key Council documents.

Annex 2 to Terms of Reference: Indicative list of documents to consult

Additional documents, and specific references within these documents, will be made available during the inception phase of the assignment.

Document	Given name
Governance review 2015	External evaluation of aspects of IUCN's governance 2015
- Council response	Management response to "External Evaluation of Aspects of IUCN's Governance", Final Report, Universalia, November 2015 (Approved by the IUCN Council during is 88th meeting, April 2016, decision C788/7) - Narrative - Annex 2: Enhanced practices and reforms of IUCN's Governance (including Annex 1 Strategic Planning and Reporting Framework for the Union, and Annex 2: Proposed scheme of distribution of responsibilities between the Council, the Bureau, the Council's Standing Committees (FAC, GCC, PPC) and the Congress Preparatory Committee (CPC). - Annex 3: Approved amendments to the IUCN Regulations - Annex 4: Strategic Planning and Reporting Framework incl. Annex 1: Annotated Strategic Planning and Reporting Framework - Annex 5: The IUCN Council's Policy on Transparency Approved by the IUCN Council at its 73rd meeting (decision C/73/151 , November 2009), modified at its 83rd meeting (C/83/9, May 2014) and at its 88th meeting (C/88/7, April 2016) - Annex 7: Approved amendments to the IUCN Statutes: Enhanced practice and reforms of IUCN's governance - Congress document WCC-2016-8.2/5 1 June 2016
Progress update on Council response (traffic light assessment of progress on enhanced practices)	Status of the implementation of "Enhanced practices and reforms of IUCN's governance" (last update 19 October 2017) (Council document from 93rd Council Meeting)
External Review of IUCN 2015	External review of IUCN 2015
IUCN response (April + November 2016)	External Review of IUCN 2015 Management Response Narrative (30 January 2017) including update (with table) in November 2016
Update on IUCN response in 2017	Status update on response to 2015 External Review in 2016 Annual Report, presented at 2017 November Council meeting (sections 7.1, 7.2? – and 7.3 and Annex D)
IUCN Statutes	Statutes, including Rules of Procedure of the World Conservation Congress, and Regulations
External Review of IUCN 2011	External Review of IUCN 2011
Re: transparency, communication to Members	88th IUCN Council decisions and Modifications to IUCN Regulations
Transparency and communication to Bureau	Appropriate Bureau Minute
Council and Bureau documents and decisions (public)	https://www.iucn.org/about/union/council/decisions https://www.iucn.org/about/council/council-and-bureau-documents

Council Handbook

May 2018

The present edition of the Council Handbook has been adopted by the IUCN Council at its 94th meeting (May 2018) in response to the revision commissioned by the IUCN Council at its 88th meeting (April 2016). The Council Handbook was originally approved by the IUCN Council in 2003 and modified in 2005, 2009 and 2011.

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1. Role and functions of the IUCN Council

Note: the annotations in this column are provided and updated by the Secretary to Council from time to time

In general

§1 A "component" of IUCN, the Council fulfils the role of what is commonly called the board or governing body in a corporate entity.

Article 15 of the IUCN Statutes lists the "components" of IUCN. Hereafter, the provisions of the Statutes are referred to as e.g. Stat 15

§2 The Council has the "*responsibility for the oversight and general control of all the affairs of IUCN subject to the authority, direction and policy of the World Conservation Congress"* (hereafter the "Congress") which remains the highest organ of IUCN.

Stat 37

§3 The Council's main roles are to:

Stat 37

- *set strategic direction and policy guidance for the work of the Union;*
- *provide oversight and guidance on the performance of the components of the Union as a whole and of the Director General in particular, encouraging coherence among its component parts;*
- *fulfil its fiduciary responsibilities to the Members of the Union and render account to them on the achievement of the Union's objectives; and*
- *support the Director General in communicating IUCN objectives and policy, and IUCN Programme to the world community*.

The roles were defined by the 2012 Congress, Decision 24 (Proceedings, p. 49) at the proposal of the Council. See Congress document WCC-2012-9.4.1/2, in particular the "Explanatory Memorandum"

§4 While the Council's main functions are defined in Article 46 of the Statutes, it has been assigned additional functions in more than 100 provisions of the Statutes, Rules and Regulations as well as in Resolutions, Recommendations and other decisions of the Congress. A list of all provisions of the Statutes, Rules and Regulations defining functions of the Council can be found in Council Decision C/88/7.

Stat 46 (r)

Council Decision C/88/7 (April 2016), Annex 2, pp. 30-34

§5 Among the most important functions of Council are:

- **in its role to set strategic direction**:
  - give rulings on policy within the general policy of IUCN laid down by the Congress [Stat 46 (a)]
  - provide strategic direction in relation to the development of the draft IUCN Programme and approve the draft IUCN Programme for submission to Congress [Stat 46 (c)]
  - comment on the Financial Plan for the next intersessional period before its submission to Congress [Stat 88 (e)]
  - appoint the Director General [Stat 46 (k)]

See in this regard the Policy Overseer Procedure approved by Council C/74/17 (June 2010)

- **in its oversight role:**
  - provide oversight and guidance on the performance of the components of the Union [Stat 37 (b) (ii)]
  - review the work of the Commissions [Stat 46 (f)]
  - receive from the recognized National and Regional Committees a report on their activities once a year [Reg 66 (d)]
  - evaluate the work of the Director General [Stat 46 (k)]
  - review regularly the implementation of the IUCN Programme [Stat 46 (e)]

The components of IUCN are (Stat 15):
1. Congress
2. Council
3. National and Regional Committees and Regional For a
4. Commissions
5. Secretariat

  - approve the annual report of the Director General and the audited financial statements [Stat 46 (g)]
- **in its fiduciary role:**
  - approve the Work Plan and Budget for the following year [Stat 46 (e)]
  - report and propose motions to the IUCN Members and the Congress on any matter relating to the activities of IUCN [Stat 46 (d) and (p)]
  - schedule and convene the Congress [Stat 23] and make preparations for it including to determine qualifications required for candidates for election to Council [Reg 31] and nominating candidates for President, Treasurer and Commission Chairs [Stat 46 (l)]
  - admit new IUCN Members [Stat 46 (i)]
  - recognize National and Regional Committees [Stat 46 (h)]
  - amend the Regulations [Stat 101]

What Stat 46 (e) refers to as annual "programme" is in fact the annual work plan which Council approves every year

§6 Instead of repeating the long list of statutory provisions, the following section of the Council Handbook focuses on the decisions taken by the IUCN Council (2012-16) to enhance Council's strategic direction and oversight roles.

See the Report of the Council to the 2016 Congress for an overview of the decisions of the Council 2012-16 pertaining to the governance of IUCN

§7 To empower the Council to focus on its strategic direction and oversight functions, the Council "delegated" a number of its 100+ functions to the Bureau and the standing committees of the Council. For more detail about the additional responsibilities of the Bureau and the standing committees of Council, see hereafter section 11 about the Bureau and section 12 about the standing committees.

See also "Enhanced practices and reforms of IUCN's governance", A3.2 and B3.2 (Council decision C/88/7, April 2016)

Actions taken by Council to strengthen its strategic direction and oversight roles

Annex 2 to Council Decision C/88/7 (April 2016)
External Evaluation of Aspects of IUCN's Governance (Universalia, November 2015)

§8 As part of the "Enhanced practices and reforms of IUCN's governance" approved by Council in April 2016 (Decision C/88/7) in response to the "External Evaluation of Aspects of IUCN's Governance", the Council took the following specific measures to enhance its strategic direction and oversight role:

a. To enhance its **strategic direction**, the Council will:

i. develop and approve strategic objectives and priorities for its work, to be adopted at the latest at the second (ordinary) meeting following the Congress, together with a 4-year work plan and a proper monitoring mechanism to be reviewed and adjusted, as required, on an annual basis;

Reg 44*bis* ; Council Decision C/88/7 (April 2016)
Hereafter, the provisions of the Regulations are referred to in an abbreviated way, e.g. Reg 44*bis*

ii. schedule once a year a dedicated strategic session (half a day) to scan the operating environment in which the Council finds itself and discuss strategic issues including the positioning of the Union and its long term viability. It will document actions to be taken as a result of these discussions and keep these actions under review;

Council Decision C/88/7 (April 2016)

iii. maintain a strategic risk matrix enabling Council to fully

Council Decision C/88/7

address the range of strategic risks facing the Union including possible changes in the external and internal operating environments. The "strategic risk matrix" synthesising major risks is presented each year to Council by the Director General;

(April 2016) The strategic risk matrix is different from the risk register which is described below in section b. viii.

iv. set strategic priorities for the development of the draft IUCN Programme for the next quadrennium in consultation with the IUCN membership, beginning with a full 'strategy session' of the Council midway through the quadrennium. Ensure that Council's Programme and Policy Committee engages early and plays a lead role in shaping the development of the quadrennial IUCN Programme. The Council ultimately approves the draft IUCN Programme for submission to Congress for adoption.

Stat 46 (c) ; Council Decision C/88/7 (April 2016)

b. To enhance its **oversight**, the Council will:

i. will use the comprehensive and coherent "Planning and Reporting Framework" approved by Council in April 2016 (**Annex 2 hereafter**). The Director General, and where appropriate the Commission Chairs, will develop and present to Council the planning and reporting tools that enable Council to fulfil its planning, monitoring and oversight functions;

Council Decision C/88/7 (April 2016) (Cf. in particular the table attached as Annex 4, pages 41-43, which follows hereafter as Annex 2)

ii. through the Programme and Policy Committee (PPC), oversee implementation of the One Programme Charter policy including the use of a range of Programme delivery models and mechanisms to leverage capacities and resources of IUCN Members and Commissions and increase IUCN's reach, influence, and impact in achieving the Programme results. In addition to reporting on the Secretariat's responsibilities under the One Programme Charter, the annual report submitted by the Secretariat to Council will progressively include data on IUCN Members' implementation of the One Programme Charter as Key Performance Indicators (KPI) and data collection systems are being developed and IUCN Members engaged over time in fulfilling their reporting requirements;

Council Decision C/88/7, Annex 2, C3. (April 2016)

iii. commission an external review of IUCN's governance at least every four years**,** to be delivered in time to inform a Council 'strategy session' at mid-term. The Terms of Reference and scope of the external review shall be established by Council and include the review of the IUCN Commissions. The latter will have the purpose of ensuring the necessary renewal of existing Commissions and broader renewal of Commissions or other network mechanisms to meet the knowledge generation, expert and Programme delivery needs of the Union. This review will anyway have to be done well before the date fixed for filing nominations for Commission Chairs.

Council Decision C/88/7, (April 2016) Annex 2, C4 and A4.7

See e.g. the evaluation carried out by Universalia in November 2015: External Evaluation of Aspects of IUCN's Governance

The Management Response to the external reviews of IUCN's governance shall be made by the Council with the understanding that with regard to the Commissions, the responsibility for the Management Response shall be shared between Council and the Director General. Provision for review should be included in the IUCN budget;

iv. add its comments to the Management's Response regarding any recommendations of the External Review that might address IUCN governance aspects. For this purpose, the Council will be informed of the Management Response to the External Review drawn up by the Director General. The External Review (to be distinct from the "External Review of IUCN's governance") focuses on IUCN Programme implementation and is commissioned by the Director General every four years for delivery towards the end of each quadrennium. The Director General will consult the Council and be advised on the draft Terms of Reference of the External Review taking into account the Director General's responsibility for the implementation of the IUCN Programme as per Article 79 (b) of the Statutes and the Council's role of approving and reviewing the IUCN Programme;

Council Decision C/88/7, Annex 2, C4.1 (April 2016)

All external reviews are published on the IUCN website. See e.g. the External Review of IUCN 2015

v. improve Council's oversight of the work of the Commissions through strengthened annual performance reporting by the Chairs to the Council on outputs, outcomes, impact and resources raised against the Commission´s work plan approved at the beginning of each term. This is to be integrated into the overall Union monitoring and reporting framework. Council will conduct once a year a session, with the Director General, to discuss the performance of the Commissions. While the Commissions, between sessions of the Congress, report to Council through the Commission Chairs, the Commission Chairs themselves report to the President and not the Council itself because they are members of the Council. This is further elaborated hereafter in section 7.

Reg 78bis

Council Decision C/88/7, Annex 2, A4.5 (April 2016)

Reg 78 (c)

vi. assess the performance of the Director General on an annual basis instead of biannually in accordance with the process described in section 6 of the present Council Handbook.

vii. will receive from the Finance and Audit Committee (FAC) a report of the top 10-15 risks of the Risk Register with its assessment of their impact and probability. The "Risk Register" which the Head of Oversight submits to the FAC is distinct from the "strategic risk matrix" (described above).

For the "strategic risk matrix", see above section a. iii.

viii. clarify what the "Governance Compliance Inventory" approved in principle by Council in April 2016 should contain and who should present it to Council, taking into account the reports on legal liabilities which the Legal Adviser has been submitting to the FAC.

Council Decision C/88/7, Annex 2, C9.1 (April 2016)

2. Composition of the Council

§9 The composition, terms of office and the procedure for filling vacancies are described in Articles 38 to 43 of the Statutes and Regulations 45, 45*bis* and 47. The nomination and election of candidates is governed by Regulations 30 to 40*ter* and Rules 74 to 81.

The membership of the IUCN Council 2016-20 with each Council member's picture, biography and email address can be viewed on the IUCN website.

These provisions are not repeated here. Instead, the following paragraphs describe additional guidance approved or applied in practice by Council on a number of issues.

A list of Council members (2016-20) as well as the Council members' contact details (2016-20) can be downloaded from the Union Portal.

Composition

§10 The amendments to the Statutes adopted by the 2012 Congress, applied for the first time during the elections at the 2016 Congress, increased the number of Regional Councillors from 24 to 28 and reduced the number of additional appointed Councillors from 5 to 1, thereby maintaining the total number of Council members at 38.

See 2012 Congress document WCC-2012-9.4.1/8 Rev 1 CG Stat 38 (f) and 39

The 2012 statutory reforms also modified the distribution of the 28 Regional Councillor seats across the eight statutory regions in order to "*better reflect the concentration of high biodiversity, the size of human population and the distribution of IUCN Members in the IUCN regions, whilst taking account of cultural and social ties and political realities*".

See Stat 39

The additional appointed Councillor

§11 Prior to 2012, Council had the ability to "address any remaining imbalances" in the composition of the Council following the voting process at the Congress by appointing up to 5 additional Councillors. The 2012 reforms severely reduced this possibility. Not decisive which criteria to apply for the selection of candidates, the 2012-16 Council did not make an appointment.

Quote from the Council Handbook 2003 (p. 14)

On 2 May 2018, Council appointed an additional Councillor (C/94/20) requesting the Governance and Constituency Committee to develop a proposal for Council to exercise its rights under Stat 38 (f)

Profile of Council members

§12 According to Regulation 31, the Council establishes criteria for the qualities required for the positions of President, Treasurer and Chairs of Commissions and makes them available to all IUCN Members at the opening of the nominations process. The Council approves the "**Profiles for the elected positions**" at least one year prior to the Congress. Although not formally required, the Council also approves a profile for Regional Councillors. The profiles are subsequently attached to the Director General's "Call for nominations" issued to all IUCN Members in accordance with Regulations 30 and 37. The profiles describe in detail the role and responsibilities as well as the qualifications and other requirements for these positions.

Reg 31

See C/85/8 Annex 3 (May 2015) for the profiles approved for the nomination of candidates for election at the 2016 Congress

§13 The **Call for nominations** for Regional Councillor candidates issued on 6 November 2015 asked IUCN Members, when making their nominations, to *"bear in mind the need for gender balance within the Council, and also for a reasonable balance between candidates from the governmental and non-governmental sectors"*. It further explained that in light of the Council's role to set strategic direction and exercise oversight for the Union, *"nominees should be individuals able to contribute to providing strategic direction and to the discussion of specific policies, as well as to guiding the finances, Programme direction and membership development of the Union. While an understanding of conservation science is a valuable attribute in a Councillor, candidates should understand that equally important*

Call for nominations 6 November 2015

attributes are knowledge of conservation and broader social and economic policy, the running of large organizations, and the ability to substantially influence the policies and practice of conservation and ecologically sustainable development in their region. While each Council member is expected to take a global view of the role of the Union in achieving its mission, it is important that Regional Councillors are also able to bring perspectives from the regions to Council and to promote the work of IUCN in the regions."

§14 With the purpose of providing the IUCN Members with real democratic choice and of demonstrating that elected Councillors have a global role in governing the affairs of the Union as opposed to representing regional interests, the Council requested in April 2016 that the next "Call for nominations" (for the elections at the 2020 Congress) provides guidance to IUCN Members encouraging them to nominate for each Region **at least one more candidate than the number of seats allocate**d for the Region concerned in Article 39 of the Statutes.

Council Decision C/88/7, Annex 2, A2. (April 2016)

§15 When discussing a "Strategy for Gender Mainstreaming at the 2016 Congress" during its 87th Meeting (October 2015), the Council modified the Terms of Reference of Council's Nominations Committee including in its methodology for assessing candidates for President, Treasurer and Commission Chairs: "*gender balance including one of two candidates for President, balance among Commission Chair nominees and nominees for Treasurer, depending on nominations received and qualifications*".

For the ToR of the Nominations Committee: see C/87/14 Annex 9 (October 2015)

Ensuring the right qualifications, skills and knowledge in Council

§16 Among the gaps in qualifications, skills and knowledge in Council described in the External Evaluation of Aspects of IUCN's Governance (November 2015), the Council identified "strategic communications, fundraising, finance, information technology, and reach and influence into international finance, business and economic sectors".

Council Decision C/88/7 Annex 2, point A1.1 (April 2016)

§17 As part of the "Enhanced practices and reforms of IUCN's governance", the Council resolved to address this issue in the following three ways:

Council Decision C/88/7 Annex 2, points A1.2 to A1.4 (April 2016)

i. Strengthen the qualifications of Councillors to be elected by the next Congress through:
   - early notice to the IUCN Members of the qualifications, skills and knowledge required for the next election
   - stronger list of qualifications in the call for nominations for all Council positions including filling gaps needed by Council.

ii. Use the possibility to include external individuals in Council committees, working groups and task forces in order to bring in needed skills and knowledge as provided for in Regulations 59 and 60 and the possibility to invite these individuals to participate as observers with the right to speak in the Council plenary.

iii. Strengthen capacities and knowledge of IUCN for newly elected Council members including through:
   - more substantive learning opportunities about the roles, responsibilities and processes of Council at opening Council

retreat;
- mentoring of new Councillors by 2nd term Councillors.

Filling vacancies in Council

§18 Article 43 of the Statutes provides that Council may fill any vacancies for the President, Treasurer, Councillors and Chairs of Commissions that may occur, for the balance of the term concerned. With exception of the case of filling the vacancy in the Presidency of IUCN, for which the Regulations clearly state that it has to be filled from among the Vice-Presidents, there is no specific procedure for filling other vacancies. The only indication in the Regulations is that "Council shall follow, whenever possible, the procedures and conditions provided for in the Statutes for the election or appointment to the post in question". For this reason, guidance has been developed over the years as follows.

Stat 43 and Reg 47

Reg 47

In April 2018, the Council appointed a new Treasurer (C/94/3) to fill a vacancy, based on a process approved by the Bureau (B/73/1, November 2017)

§19 In May 2015, Council approved a standard procedure for filling a **vacancy of a Regional Councillor** as follows:

1. Council invites IUCN Members of the Region concerned to submit nominations;
2. Council's Nominating Committee [i.e. the Vice-Presidents acting as Nominating Committee under Regulation 48 (c) (ii)] validates the nominations put forward by IUCN Members;
3. Council invites all eligible IUCN Members to elect one of the candidates by electronic vote.

Council decision C/85/27 (May 2015)

§20 Council has also filled **vacancies of Commission Chairs** following the resignation of the incumbents which had been elected by the Congress. In 2015, in their procedural advice dated 8 July 2015, the Senior Governance Manager and the IUCN Legal Adviser explained to the Chair of the World Commission on Protected Areas that, in principle, Council needed to follow as much as possible the procedures of Regulations 30 and 30*bis* for the nomination of candidate Commission Chairs.

C/65/27 (May 2006) appointing a new Chair of CEESP and B/64/1 (October 2015) appointing a new Chair of WCPA

§21 In the case arising in 2015, however, as the vacancy had occurred close to the Director General's "Call for nominations" in the context of the 2016 elections, it was considered unnecessarily confusing and cumbersome to run two nomination processes in parallel. Instead, the procedural advice was therefore that the Steering Committee of the Commission concerned was to make a recommendation to Council of one, or maximum two 'prioritized' candidates for Commission Chair, in the spirit of Regulation 30*bis* following a consultation with the membership of the Commission concerned. This was, in addition, consistent with the precedent of May 2006 when Council filled a vacancy on the basis of a recommendation from the Steering Committee of the Commission concerned.

Cf. Council document C/87/5.4/1

§22 The situation in which a Commission Chair resigns must be distinguished from that in which the (appointed) Deputy Commission Chair acts in the place of the Chair whenever the latter is unable to act as the Chair, be it due to an absence or an incapacity of the Chair. In this case, the Council does not need to make an appointment.

Reg 46. Cf. for example Council decision taken by email on 27 April 2016 to adopt a "Process for the Council's nomination of a new candidate Chair of CEC 2017-20"

3. Individual responsibilities of Council members

Stat 59-63

Statutory Responsibilities, Liability and Accountability

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

By decision C/94/19 (May 2018), the Council adopted the:

a. "**Performance Commitment for IUCN Councillors**" which all elected and appointed Councillors are invited to sign at the time of their nomination or appointment. Cf. hereafter **Annex 5**;
b. "**IUCN Councillor Activity Report**", encouraging all Councillors to report to Council on activities as an IUCN Councillor – at global level, regional level and national level - at the end of each period between Council meetings. Cf. hereafter **Annex 6**;
c. "**Self-Assessment of IUCN Council members and Evaluation of the IUCN Council Meeting**" Cf. **Annex 7** hereafter.

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

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

Code of Conduct for IUCN Council members, Part IV j. 8.

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

Reg 48 (b)

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

§28 A Council member's position on Council may be declared vacant if that person is **absent from three consecutive meetings of Council** without having been given leave of absence**,** i.e. provided good

justification approved by Council (Article 64 of the Statutes). Since Council's approval of "Enhanced practices and reforms of IUCN's governance" (April 2016), this authority has been "delegated" to the Bureau. Note in this regard the longstanding practice, originating in a decision of the Council, to indicate in brackets in the Call for nominations the number of Council meetings which each Regional Councillor attended since the last session of the World Conservation Congress.

Council Decision C/88/7, Annex 2, point A3.2 (April 2016). See also Reg 57 and the Rules of Procedure of the Bureau, paragraph 2 (Annex 1 hereafter)
See e.g. the Call for nominations 6 November 2015

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

Registre du Commerce

§30 In accordance with the Swiss Law of Associations, IUCN has been registered in the (cantonal) Registre du Commerce (the equivalent to "Company House" in the UK) and is required to update the registered information (ORC 27), including personal information of all Council members [ORC 24 a) and b)]. This information includes name, birth date, origin, postal address and copy of their passport.

ORC: Ordinance "Registre du commerce"

CO: Code of Obligations

Most modifications (updates) of the Registre du Commerce must be

i) signed by two members of the Council authorised to sign and
ii) supported by evidence of a decision of Council or Congress, as appropriate (ORC 23).

This obligation finds its origin in Swiss Law and does not in any way modify the decision and signatory authorities established in IUCN's Statutes.

§31 For practical purposes, the Council has appointed, in addition to the President, the Treasurer and the Councillor from Switzerland as members of Council with the authority of the Council for any two of them to sign jointly on behalf of IUCN.

See e.g. Council decision C/91/5

Code of Conduct for IUCN Council members

Code of Conduct for IUCN Council members approved by Council at its 68th Meeting (November 2007) and amended from time to time. Attached hereafter as Annex 3

§32 The duties of Council members are further defined, and explained with more detail, in the Code of Conduct as:

- Reasonable care
- Loyalty
- Respect
- Transparency
- Confidentiality.

§33 Part IV of the Code of Conduct requires Council members to observe the highest standards of ethical conduct which it defines with much detail. Some of these standards of conduct which on occasion give rise to questions are highlighted hereafter.

§34 **Conflicts of interest.** Part IV b. of the Code of Conduct provides a definition of conflict of interest. Whenever a Council member is in a conflict of interest situation as defined in the Code, that Council member is under an affirmative duty of disclosure to the Ethics Committee and shall refrain from participation and voting on those matters as already mentioned in §23. If the conflict is apparent or potential rather than actual, Council members should seek the advice of the Ethics Committee of Council about whether they should recuse themselves from the situation that is creating the appearance of or potential for conflict.

§35 In Annex 4 hereafter, the Ethics Committee for a record and for additional guidance to the Committee will, from time to time, insert examples of the implementation or interpretation of the Code of Conduct. These examples will be based on determinations made by the Ethics Committee in concrete cases or in response to requests for clarification or guidance from Council.

Approved by decision B/70/5 of the Bureau of the IUCN Council (June 2017)

(§36 of the draft Council Handbook was removed because its content had been incorporated in the Conflict of Interest Declaration Form)

§37 **Disclosure of interests.** Part IV a. requires each Council member to submit an annual disclosure form to the Chairperson of the Ethics Committee.

On 1 May 2018 the Ethics Committee of Council submitted to Council a **Conflict of Interest Disclosure Form** together with consequential amendments to the Code of Conduct for IUCN Councillors, which will be considered by Council at its 95th meeting (October 2018)

§38 **Consensus.** Once a final decision has been taken on a matter before Council, Council members have also a duty to support that decision.

§39 **Public statements.** According to Article 79 (e) of the Statutes, the Director General is the designated authority to issue statements in the name of IUCN. When making public statements verbally or in writing, Council members should therefore make it clear whether they are communicating in their personal capacity or on behalf of IUCN, and in the latter case, they should make it clear in what capacity and that authority has been received from the Director General to do so. Council members may not represent any organizations in addition to IUCN at the same time whilst making any public statement, except where IUCN and such other organizations have explicitly authorized such representation beforehand. Before Council members engage in making any public statements, including speaking to the media, Council members need to ensure that they meet a number of criteria defined in the Code of Conduct, including to ascertain whether or not the matter is being dealt with in the Secretariat and obtain relevant information from the Director General who – as mentioned above - is the designated authority to issue statements in the name of IUCN (Article 79 (e) of the Statutes).

Stat 79 (e)

§40 **Adhere to the Code and signature.** As required by the Code of Conduct, a copy of the Code is attached to the nomination forms for any person seeking or accepting to stand for election or appointment to a position on Council. By signing a nomination to be elected or appointed as a Council member, such a candidate agrees to submit to the provisions in the Code of Conduct both during and, where relevant, after their term has expired (e.g. in relation to confidentiality, respect etc.).

Code of Conduct for IUCN Council members, Part V c.
See the Call for nominations 6 November 2015 in particular the nomination form attached to the Call for nominations of Regional Councillor candidates

§41 The Code also requires Council members to sign two original

counterparts of the Code during the first full meeting of Council after the World Conservation Congress (with a special procedure for those absent from that meeting). In the event of a Council member failing to sign the Code, the individual concerned will be considered as having acted in a manner seriously inconsistent with that Council member's duties and the provisions in Article 65 of the Statutes shall apply.

The Ethics Committee of the IUCN Council

Code of Conduct for IUCN Council members, Part V

§42 Consistent with Regulation 48 (c) (iv) which provides that the Vice-Presidents assist the President, on request, in the management of Council, including the facilitation of resolution of conflicts between Councillors and of questions of ethics, should they arise […]", the **Vice-Presidents** will constitute the Ethics Committee. The Ethics Committee shall be responsible for consideration and administration of all matters relating to the Code of Conduct and for assisting the Council in implementing the provisions of Article 65 of the IUCN Statutes and all other statutory provisions relevant to the ethical conduct of Council members. Part V of the Code of Conduct contains detailed provisions for the implementation of the Code and includes an Annex defining a "Procedure for dealing with issues submitted to the Ethics Committee for consideration and decision".

Code of Conduct for IUCN Council members, Annex 1

§43 The Ethics Committee of Council can be contacted via the Secretary to Council who also acts as the Secretary to the Ethics Committee.

4. The President

Based on Council Handbook (2003), p. 27

§44 Although the Statutes say little about the position of the President compared with that of the Director General, the role of the President of IUCN is of particular importance to the effectiveness of both IUCN and Council. Presidents are often called upon to represent IUCN to the outside world in controversial issues, to open doors for the organization to high-level representatives of other bodies and governmental authorities, to present the case for conservation and IUCN at global conferences, and to increase IUCN's visibility among non-conservationists by lending their credibility to the Union's cause. In view of the above mentioned Article 79 (e) which designates the Director General as the person authorized to make statements on behalf of IUCN, it is important that the President coordinates with the Director General and the Secretariat prior to making public statements.

Stat 79 (e); see above §39

§45 The President may be nominated by Council or by IUCN Members for election by the World Conservation Congress. However, Council is expected to set out criteria for the qualities required in a President. The requirement in Article 42 of the Statutes, limiting Council members to two consecutive terms in any office, applies to the President as well. The Regulations provide that in the case of a vacancy in the Presidency, Council will fill the position from among the Vice-Presidents.

Stat 27; Reg 30-35

Reg 31

Reg 47

§46 The President may convene a meeting of the Council whenever

Stat 51; Reg 50

necessary, even during the Congress, and shall do so if requested by one-third of the members of the Council. The President usually chairs the Congress and Council meetings, and presides over the Bureau. The same rules regarding commitment and performance that govern individual Councillors also apply to the President.

Stat 26, 52; Reg 57 (a)

§47 The President plays a major role in setting up the Bureau and Council Committees. As part of the Council approved "Enhanced practices and reforms of IUCN's governance", the Council confirmed that, as was practiced at the first ordinary Council meeting of the 2013-16 term, the four Vice-Presidents, the Chairs of the standing committees of the Council and the two Regional Councillors members of the Bureau may be appointed by consensus decision of the Council on the proposal of the President following consultation with Council members. This has been considered the best way to try to build consensus in the Council and thereby strengthen the credibility of and trust in the bodies that Council will establish to assist it to fulfil its mandate. In this regard, making the comparison with a parliament receiving the prime minister's proposal for the cabinet, the IUCN President should have the possibility to consult and build consensus, and only call for a vote or an election if consensus does not appear to be possible. It is also a good way to ensure an appropriate geographical and gender distribution in the Bureau (required by Article 46 (j) of the Statutes) and the appointment of individuals with the necessary qualifications, commitment and availability to properly exercise the duties inherent in these functions.

Council decision C/88/7, pp. 22-23 point A3.1 (April 2016)

This new practice has been codified in the Rules of Procedure of the Bureau, paragraph 4 (Annex 1 hereafter)

For the practice in 2013-16, see the summary minutes of the 81st Council meeting (January 2013)

§48 But perhaps the most critical demand on the President is to develop a positive working relationship with the Director General, who should be able to feel confident enough to bring issues to the President for advice and counsel. Both the President and the Director General should view their mutual relationship as a partnership, and see their mutual effectiveness as linked to the quality of their working relationship.

Reg 48 (b)

§49 The President's prime duty is to be an effective Chair of Council and show leadership in the Council's discharge of its Statutory functions. Just as the Director General is responsible for the effective management of IUCN operations and programmes, the President is responsible for the productivity and conduct of Council. The President establishes a model for Council's relationship with the Director General and Secretariat staff, and encourages productive and respectful relationships among Council members. The President helps to focus the Council's attention on the policy and governance needs of the Union by shaping appropriate agendas for Council meetings, ensuring that Council members have the information they need to fulfil their oversight responsibilities, and conducting Council meetings and discussions in a way that leads to constructive decision-making and planning.

§50 Given the international nature of IUCN's work and the logistical challenges of bringing together Council members from distant locations for meetings, the President should review carefully the leadership and effectiveness of Standing Committees, and how information is communicated between meetings of Council. It is particularly difficult to

balance the demands of efficient decision-making with the desire to involve the full Council in this function. The President should ensure that appointments to committees and task forces within Council are made as democratically and transparently as possible, taking also into account the expertise required for the specific tasks. The President should take the lead in defining the process for the review of the Director General's performance and making clear the parameters of the evaluation. In 2016, the Council amended the Regulations to specify that the President and Vice-Presidents comprise the evaluation committee of the Director General.

Reg 48 (c) (v)
Council decision C/88/7, Annex 2, C5 (April 2016)

§51 Within the Union, the President participates on committees, works closely with the Secretariat, and consults as appropriate on Union-wide initiatives. Since the President also plays an important role as an ambassador and representative of IUCN in building relationships with Members as well as with governmental and private sector organizations of importance to IUCN, the President's activities can be particularly significant in relation to programme development and resource mobilization.

§52 Official correspondence for the IUCN President should be addressed to president@iucn.org. The mailbox is managed by the Senior Governance Manager (Secretary to Council) and the Governance Assistant who coordinate the Secretariat support to the IUCN President.

See also the IUCN President's page on the IUCN website.

§53 Personal correspondence for the President should be addressed to her/his private email address.

5. The Vice-Presidents

§54 The Council elects or appoints from among its members, up to four Vice-Presidents, chosen with due regard to geographical distribution and gender balance.

Stat 46 (j); Reg 45 (c)

§55 Their role as defined in the Statutes and Regulations is as follows:

Stat 51-52; Reg 48 (c), 50

- Chair the Council and the sittings of the Members' Assembly at the request of the IUCN President or in her/his absence;
- Support the President with advice and assistance on matters related to Council (transparency and accountability of Council, the management of Council including facilitation of resolution of conflicts between Councillors and of questions of ethics, any other duties as may be assigned to them);
- Assume membership of the Bureau of the Council (two Vice Presidents for the first two years of the term, followed by the other two Vice Presidents for the remaining two years of the term);
- Be member of the Congress Steering Committee;
- Act as Ethics Committee of Council;
- Act as the Nominating Committee for the election of the Bureau, the

See also the Profile of Vice-President attached as Annex 4 to the President's letter to Council of 11 December 2012

committees of Council and the appointment of the additional Councillor;

- Together with the President, constitute the evaluation committee of the Director General.

6. The Director General

§56 **Role and functions.** The Director General is the chief executive of IUCN and the head of the IUCN Secretariat, as well as the head of the secretariat for the Congress. Her/his functions and duties are defined in the Statutes and the Regulations.

Stat 78
Stat 79-84 and 88; Reg 88-90

§57 The position of Director General, priorities and core competencies (Terms of Reference) are described in the "Vacancy Announcement Director General" approved by Council in November 2013, Annex 2, pp. 25-28.

ToR of the DG, p. 24 approved by email ballot of the Council, 4 November 2013

§58 **The Director General and the Council.** The Director General shall be subject to the authority of the Council. The Director General or her/his representative is entitled to attend and speak at meetings of the Council and any subsidiary body established by the Council without the right to vote.

Stat 78

Stat 80

§59 As the chief executive of IUCN, the Director General presents proposals on management and is expected to give Council the information essential to deliberations as well as to enlighten its members about the operations of IUCN and provide a link between Council and Secretariat staff. In this role, the Director General may be supported by other senior staff from the Secretariat. The Director General plays a significant role in contributing to the effectiveness of Council. He or she has access to information of value to Council deliberations and is responsible for providing such information to Council on a timely basis. Between Council meetings, the Director General also facilitates communications between management and Council, and assists Council committees in the performance of their functions. In this respect, a positive relationship with the President can play a significant part in the Director General's effectiveness.

§60 The Director General submits annual **work plans and budgets, and reports**, to Council in accordance with the **Strategic Planning and Reporting Framework** approved by Council. The Director General submits the (corporate) annual report for approval to the Council as well as the audited financial statements. In addition, the Director General presents to each meeting of the Council a verbal report on the accomplishment of her/his functions since the previous Council meeting. Since 2012, the Director General has also issued monthly activity reports for all Secretariat staff and Council.

Annex 2 hereafter. See also p. 4, section b. i.

Stat 46 (g) and 83

§61 **Director General's performance evaluation.** In April 2016, the Council modified the procedure for the Director General's evaluation approved in 2011 included in the Council Handbook to specify that Council establishes performance objectives and the President and Vice-Presidents assess the performance on an annual basis instead of

Council decision C/88/7, Annex 2, C6. (April 2016)

Council decision C/76/5 (May 2011) had modified

biannually, and for the results to be reported to Council annually in a closed meeting.

the procedure described in the Council Handbook (2003)

§62 The procedure henceforth reads as follows:

1. The Council approves annual performance objectives for the Director General. The procedure approved in 2011 specified that the objectives be formulated along 5 core areas of performance in keeping with the One Programme Charter (promoting synergies among all strands of the Union):
   - Strategic Leadership in conservation
   - Fundraising and Financial Management
   - Operational and Change Management
   - Programme Management
   - External Liaison and Public Image

   See e.g. C/88/28 (Annex 21) (April 2016) for the Director General's Objectives 2016
2. The President and Vice-Presidents who together form the evaluation committee of the Director General, assess the performance on an annual basis.

   Reg 48 (c) (v)
3. The President reports the results annually to Council in a closed meeting. The procedure approved in 2011 specified that the evaluation be based on:
   - the objectives approved by Council
   - the Director General's self-assessment
   - the results from an electronic 360° feedback questionnaire.

§63 **Recruitment of a Director General.** In the absence of detailed provisions in rules and procedures, this section lists the steps which have been taken in the most recent selection processes:

See e.g. Bureau decision B/60/5 of 17 June 2013, Annex 1

- the Council or its Bureau decide to establish a Search Committee for the selection of the IUCN Director General

Cf. the Bureau decision of 26 August 2013 adopted by email exchange establishing the Search Committee (consisting of the President, the 4 Vice-Presidents, 1 Commission Chair and 1 Council member with a legal background)

- the Council or the Bureau appoint the members of the Search Committee for the IUCN Director General

- Council approves the Terms of Reference of the Search Committee for the IUCN Director General, the Terms of Reference of the IUCN Director General (or the vacancy announcement), the process and timeline, and the cost estimate or budget of the recruitment process

Cf. decisions approved by email ballot of the Council on 4 November 2013:
1. ToR of the Search Committee, pp. 25-26
2. ToR of the DG, p. 24
3. Process and timeline for the recruitment of a new Director General
4. Estimated cost of the recruitment of the DG

- the Council appoints the Director General.

Cf. Council decision of 27 August 2014 (by email exchange) appointing the Director General, p. 33

7. The Commission Chairs

§64 This section focuses on specific responsibilities of the Commission Chairs as members of the Council and does not repeat the provisions of the Statutes and Regulations regarding the Chairs' authority and responsibilities as chairs of the Commissions.

§65 Since April 2016, the Regulations make it very clear that between sessions of the Congress the Commissions are accountable and report to the Council through the Commission Chairs while the Commission Chairs are accountable and report to the President and not the Council itself because Commission Chairs are full voting members of the Council.

Reg 78 and 78*bis*

§66 New Regulation 78*bis* enhancing **Council's oversight of the work of the Commissions** through strengthened annual performance reporting, and an annual session of the Council to discuss the performance of the Commissions, has been mentioned above in the section "Strengthening Council's strategic direction and oversight roles".

See section b. v. on p. 4

§67 The President, in the presence of the Director General, shall undertake an **annual appraisal of the performance of each Commission Chair** in relation to the annual work plan and the mandate of that Commission. The process used to be agreed between the President and the Chairs at the beginning of each term. During the term 2009-12 and again in 2013-16, the performance appraisal comprised 360° anonymous feedback carried out at mid-term by the Global Human Resources Group with the help of an electronic tool. In the year preceding and that following the feedback questionnaire, the President, Director General and the Chairs held a group meeting to discuss issues and take measures to improve the functioning of the Commissions.

Reg 78 (c)

§68 **Potential conflict of interest.** Commission Chairs are members of the Council. To avoid possible conflicts of interest, Regulation 78 (b) was amended in April 2016 in order to require each Commission Chair to recuse her/himself from the Council discussion and decision/vote concerning their respective Commission's Operation Fund**.** In other words, once each Chair has presented her/his proposals for her/his Commission's draft Commission Operation Fund, they refrain from intervening in the discussion. When the discussion is concluded, the President will invite them to respond to the comments made, following which the President will invite the Council to take a decision. The Chairs of the Commissions will recuse themselves from voting.

Reg 78 (b)

§69 The same protocol applies to the discussion and approval of the draft Commission mandates to be proposed by Council to Congress.

§70 Note that Regulation 78 (b) is written in the singular form when describing the protocol for the approval of the Commission Operation Fund and in the plural form when doing so for the Commission mandates. It means that a Chair may intervene in the discussion about the Operation Fund of another Commission than her/his own, while none of the Chairs may intervene in the discussion of any of the draft

Cf. the summary minutes of the 88th Council meeting, p. 8

mandates of the Commissions.

§71 **Deputy Commission Chairs.** Deputy Commission Chairs are appointed by Council on the proposal of the Chair of each Commission and shall act in the place of the Chair whenever the latter is unable to act as the Chair.

Stat 46 (m) and Reg 46

§72 According to Article 44 of the Statutes, the Deputy Chairs of IUCN Commissions shall be entitled to participate in meetings of the IUCN Council and shall be entitled to vote in the place of the Chair of their Commission when that Chair is absent.

"Absent" has been applied in a restricted way, to mean: absent from the venue of the Council meeting, taking into account that a Commission Chair, as every other Council member, has only one vote; the Deputy Chair is not a member of the Council or a Council committee; and the Deputy Chair is only authorized to act in the place of the Chair when the latter is unable to act. If present at a Council meeting together with her/his Commission Chair, the Deputy Chair may observe the meeting of the Council or the Council committees, and her/his travel and accommodation costs will have to be borne by the respective Commission Operation Fund.

8. The Secretary to Council

Reg 56*bis*

§73 **Role and function.** In April 2016, the Council formalized in the Regulations the function of 'Secretary to Council', with the purpose of ensuring that:

- independent advice and support to the President and Council was available, in the sense that the Secretary should be able to work in confidence with the Council on matters on which the Council expects confidentiality;
- Council adhered to the provisions in the Statutes, Rules of Procedure of the Congress and Regulations related to Council and its subsidiary bodies.

Council decision C/88/7, paragraph 8 & Annex 2, B2.4. After clarifying that the Senior Governance Manager had the responsibility to service the Council, the Council approved the Director General's appointment of the incumbent of the position as Secretary to Council. Cf. also the summary minutes of the 66th Bureau February 2016, p. 3 and the summary minutes of the 88th Council meeting, p. 4

§74 **Appointment**. Should the incumbent leave his or her position as Secretary to the Council, the Director General will appoint the Secretary to Council after consulting the Council and the President with regard to the proposed candidate.

§75 During the 88th Meeting of the Council (April 2016), the Director General explained that when the Secretariat delivers a service to Council, there will always be consultation with the Council. Such a service may at times include confidentiality. But the employment contract of the member of the Secretariat staff appointed to act as Secretary to Council including the salary level and the performance review will be made by the Secretariat. It was important to provide continuity and safeguard the position of Secretary from becoming "political".

9. The IUCN Legal Adviser

§76 **Role and function.** The Legal Adviser provides the legal advice and services described in Regulation 85 to all components of IUCN and in particular to the World Congress, the Council and the Secretariat (Stat 85 and Reg 85). This advice covers governance matters (e.g. any matter related to IUCN's governing bodies and statutory documents) and corporate matters (e.g. any matters related to the conduct of the business of IUCN).

Stat 46 (o), 85 and 86; Reg 45 (d), 85-87

§77 In addition, the Legal Adviser is in charge of monitoring and ensuring the accuracy of the electronic voting process (Reg 94f), both in the framework of the motions process and in inter-sessional votes of Members.

§78 **Appointment.** The IUCN Legal Adviser is appointed by Council at the recommendation of the Director General and for a term to run concurrently with its own, which means that the appointment of the Legal Adviser is on Council's agenda at the beginning of each term. In April 2016, the Council "delegated" this function to the Bureau. It has been a constant practice not to appoint a new Legal Adviser for each term but to confirm the appointment of the current incumbent in order to ensure continuity.

Cf. Annex 1 hereafter (Appendix to the Rules of Procedure of the Bureau)

§79 **Legal Adviser and Council.** The Legal Adviser participates and has the right to speak at meetings of the Council and all its subsidiary bodies without the right to vote (Stat 86). S/he provides independent legal advice and opinions on all matters that may be referred to her/him by Council, its subsidiary bodies or members of the Secretariat for final review and/or advice. This includes the review of specific issues or documents and the interpretation of, and drafting of new provisions or amendments to the Statutes, Rules and Regulations.

10. Meetings of the Council

§80 **Rules of Procedure.** The rules of procedure of the Council are articulated in Articles 51 to 57 of the Statutes and Regulations 49 to 56. The following paragraphs highlight some of the procedures while describing how they have been applied in practice or how the Council has decided to implement them.

§81 **Frequency of face-to-face meetings.** The Statutes prescribe that the Council must meet at least once a year (Article 51). The practice has been to meet twice each year with the Bureau and Council committees and task forces meeting intermittently, as required, by electronic means or telephone, or holding discussions and adopting decisions by electronic mail.

§82 **Venue.** In 2011, the Bureau decided at its 55th meeting *"to explore opportunities to hold one Council meeting outside the IUCN Conservation Centre where dedicated funds to cover incremental costs have been secured, and there is a demonstrated opportunity to increase IUCN profile and influence and/or make a major contribution to*

B/55/4 (15 February 2011)

advancing the conservation agenda". Following financial commitments received from the hosts concerned, the Council met in New Delhi (India) in November 2011 and in Hainan (China) in October 2015. The Council also decided to convene in Sydney in November 2014 at the occasion of the World Parks Congress following Council approval of additional unbudgeted expenditure. It has also been the practice to hold short (half a day) meetings on the eve of the opening of the Congress and immediately following the closing of the Congress.

C/83/19 (May 2014)

§83 **Format.** At the same 55th meeting, the Bureau also decided to "fix the period for face-to-face meetings of Council at 4 days, including Committee and Task Force meetings". Since then, the practice has been to restrict the Council meetings to 3 days, including two days of plenary meetings and one day of standing committee meetings, preceded by one day for meetings of task forces and working groups (e.g. the Bureau, the Congress Preparatory Committee, the Nominations Committee, subgroups of the standing committees (e.g. the GCC subgroup on governance issues), the Private Sector Task Force).

B/55/4 (15 February 2011)

§84 As part of the "Enhanced practices and reforms of IUCN's governance", the Council advised that the mode of Council and subsidiary body meetings/work should go beyond the face-to-face meetings and involve more and improved means for online communication and meetings of smaller groups (with the cost-effectiveness properly analysed). Council should also apply a diverse range of meeting methods leading to strategic decision-making and adequately support the Chair (President, Vice-Presidents)

Council decision C/88/7, Annex 2, B2.2 and B2.3 (April 2016)

§85 **Agenda preparation** for each Council meeting starts with strategic guidance and priority setting by Council at the end of the previous meeting and subsequently involves the Chairs of the subsidiary bodies of the Council. The President and Director General finalize the draft agenda for Council approval. The agenda indicates (with a colour code) which items constitute strategic direction, oversight or fiduciary responsibility of Council.

Council decision C/88/7, Annex 2, B2.1 (April 2016)

§86 **Quorum.** The quorum is half of the members of the Council, whether present in person or by proxy. In other words, if the Council is composed of 37 members, 19 of them present at a meeting or represented by proxy, may take valid decisions. If the quorum is not obtained, decisions must be validated by the full Council by email ballot.

Stat 54

§87 To prevent this from happening, Council members who are not able to participate in a Council meeting, or part of it, are encouraged to give a proxy to another Council member, as appropriate, with instructions of how to speak or vote on her/his behalf. To be valid, a proxy must be given to another Council member present at the meeting who will inform the Chair. In practice, proxies are given by email from the proxy giver to the proxy holder, at any time before or during the meeting, with copy to the Council Secretary who will inform the Chair. A Council member may only accept 2 proxies.

Stat 57; Reg 56

§88 **Decision making.** Although the Statutes provide that decisions

Stat 55 and 56; Reg 55

shall be taken by a simple majority of the votes cast, in practice, most decisions are adopted by consensus, i.e. in the absence of objections, and a vote is taken only when, in the opinion of the Chair, a consensus is not possible or upon request of Council members. Until 2009, at the beginning of each meeting, the Council used to adopt "Council's Rules for Motions" which required that any motion or amendments to motions be "moved" and "seconded" before being discussed, and motions be subsequently put to the vote. In 2009, the rules for motions were included in the Council Handbook as Annex II thereby discontinuing the practice of adopting them at every meeting.

Reg 53

Council decision C/72/2 (February 2009) Council Handbook (2003), Annex II

§89 However, since that time, the consensus decision has in practice replaced the majority vote for most of the decisions taken during physical meetings of the Council. After ensuring that all views have been heard during the discussion, the Chair of Council asks whether there is any objection against approving the draft decision presented in the Council document and/or projected on a screen, or read out loud by the Chair or the proposing Council member. At the latest at that time, amendments that haven't yet been proposed during the discussion must be tabled. Should there be no consensus or at the request of members of the Council, the Chair will call for a vote. Usually, votes are taken by show of hands unless there is a request for a vote by roll call or a vote by secret ballot.

§90 The decisions of the Council are published on the IUCN website in the version they were approved during the meeting, together with their translation into the two other official IUCN languages as soon as they are ready, but at the latest 6 weeks following the end of the meeting as required by the Transparency Policy.

IUCN website

§91 The summary minutes of the Council and the decisions of Council/Bureau meetings will record the individual voting results whenever a vote by roll call is required for a decision or when a member of the Council or the Bureau requests their vote to be recorded.

The Council's Policy on Transparency, paragraph 5.

§92 **Closed meetings.** The President or Council may decide to meet behind closed doors. Typical examples are the closed meeting of the Council during the last ordinary meeting of the term in order to select the candidates which the Council wishes to nominate to Congress for election as President, Treasurer and Commission Chairs, and the closed meeting to discuss the performance appraisal of the Director General. Closed meetings have remained exceptional. Note also the practice of Council meeting for dinner with the Director General, with no one else present.

Stat 58

§93 **Languages.** The official languages of IUCN are English, French and Spanish. In practice, simultaneous interpretation is provided during the plenary sessions of the face-to-face meetings of the Council but not for meetings, be they face-to-face or virtual, of the Council committees, working groups or task forces. The latter are usually conducted in English. Upon request, members of the Secretariat staff will offer language assistance to Council members. Council documents are provided in English only.

Stat 100; Reg 53

§94 **Documents.** The Secretary to Council coordinates the Secretariat's preparation of Council documents required for the (face-to-face and virtual) meetings of the Council, the Bureau and the Council committees. They are made available to all Council members and Deputy Commission Chairs via the Council section of the Union Portal. Email notifications are sent when important new documents have been posted in the Portal. Concerned to reduce the printing cost and ecological footprint of the Council meetings, and to speed up communication and facilitate access to the most recent version of the documents, no hard copy has been distributed since 2012.

§95 **Summary minutes.** The Secretary to Council prepares the summary minutes and distributes them for comments and approval in accordance with Regulation 52. "Summary minutes" contain summaries of presentations and discussions and do not record verbatim the interventions made during the meeting. Council members may submit revised wording for the parts of the summary minutes reflecting the presentations or discussions or send the verbatim text of their intervention. Revisions to the text of decisions is not permitted at this stage because the summary minutes quote the decisions with the wording as approved during the meeting. To modify the wording of a decision would mean to re-open discussion of the agenda item concerned, which requires Council approval.

Reg 52

§96 **Observers.** Although Regulation 49 provides that (only) international organizations with which IUCN has formal working relations may attend the meetings of the Council as observers with the right to speak, the Council does not in practice invite observers. As part of the governance reforms approved in April 2016, Council resolved to use the possibility of including external individuals in Council committees, working groups and task forces in order to bring in needed skills and knowledge and to use the possibility to invite these individuals to participate as observers with the right to speak in the Council plenary. Council also "delegated" this function to the Bureau.

Council Decision C/88/7, Annex 2, point A1.3.

Cf. Annex 1 hereafter (Rules of Procedure of the Bureau, Appendix)

§97 It must be noted that the President and Council have systematically pushed back requests from IUCN Members to observe the meetings of the Council not only because Regulation 49 restricts observers to international organizations, but more so because on the rare occasions such requests were received the Council wished to protect its independence and avoid pressure or undue influence. Consulted by the President about such a request from a State member candidate host for the next Congress, the Bureau advised in 2009 that *"it was neither necessary or appropriate for candidate host country representatives to be in or around the IUCN headquarters before or during the time that we are considering the issue of the venue for the Congress"*. The same practice was followed in 2013 when Council selected the venue for the 2016 Congress.

§98 **Virtual meetings of the Council.** Although unusual, the Council has met twice by telephone or Skype for Business during the term 2012-16, in both cases to adopt amendments to the Regulations in 2nd reading. The rules of procedure apply *mutatis mutandis* to virtual meetings of the Council in the same way as the Bureau's rules of procedure do for the Bureau's virtual meetings. Virtual meetings of the

Cf. Annex 1 hereafter (Rules of Procedure of the Bureau, paragraphs 10 to 13)

Cf. decisions of the 86th

Council are considered as periodic meetings of the Council [in the sense of Article 101 (c)] and numbered accordingly.

and 89th meetings of the Council

§99 **Decisions adopted via electronic communication.** Article 95 of the Statutes allows the Council to approve decisions by email. This has happened occasionally when e.g. the question is urgent (the decision can be adopted after 7 days; no validation as for Bureau decisions is required) and relatively straightforward in the sense that no discussion is necessary and the draft decision is not likely to be amended. The rules of procedure apply *mutatis mutandis* to the approval of decisions via electronic communication in the same way as the Bureau's rules of procedure do for the Bureau's decisions approved via electronic communication.

Decisions approved by Council and Bureau 2016-20 via electronic communication are published on the IUCN website incl. for the period 2012-16.

Cf. Annex 1 hereafter (Rules of Procedure of the Bureau, paragraph 15)

§100 **Cost of Council meetings.** The annual budget approved by Council covers the direct cost of two face-to-face meetings each year. The average direct cost of one Council meeting held at the headquarters in Gland is CHF 110,000 of which 34% is spent on travel and 22% on accommodation for 37 Council members including Commission Chairs, 14% for all meals and 17% on simultaneous interpretation (reference base is the cost estimate for the 92nd Council meeting, February 2017). With the exception of the Secretary to Council and the Governance Assistant, the annual budget of the Governance Unit does not account for the working hours of numerous members of the Secretariat staff contributing to the preparation of the Council documents and attending the face-to-face and/or virtual meetings of the Council, the Bureau, Council committees, working groups and task forces.

§101 With the purpose of enabling the Council to determine the support it requires and ensure its independence, it was decided in April 2016 that "a Council budget line shall be established in the IUCN budget and Terms of Reference and criteria for use developed, with the budget to be decided annually."

Council Decision C/88/7, Annex 2, point D2. (April 2016)

§102 **Reimbursement of Councillors' travel expenses.** The "Policy on the Reimbursement of Travel Expenses to IUCN Councillors" approved by the 41st Council Meeting (May 1995) and revised by the 57th Council Meeting (December 2002) still applies.

Policy on the Reimbursement of Travel Expenses to IUCN Councillors

§103 Key elements of the Policy are as follows:

- Council members are encouraged to seek full coverage or a contribution towards their cost from sources other than IUCN;
- reimbursement of expenses related to attendance at meetings of the Council, the Bureau and Congress is restricted to the expenses defined by the Policy and covered by the annual budget;
- **travel expenses and subsistence costs** are governed by the rules applied to the Secretariat staff;
- IUCN pays the cost of air travel in economy class from the Council member's residence to the venue of the meeting;
- when meals are provided, the per diem rate is adjusted accordingly;
- additional days spent at the venue of the meeting before and/or

For arrangements agreed with Hogg Robinson Group for the purchase of Councillors' flight tickets, see the INFORMATION NOTE of 20 October 2016

after the meeting for purposes other than IUCN business are at the charge of the Council member;
- **health and accident insurance and insurance of personal belongings** are the personal responsibility of each Councillor.

11. The Bureau of Council

Authority of the Bureau

§104 The Council shall establish a Bureau which shall act on behalf, and under the authority of the Council between meetings of the Council.

Stat 49

§105 This statutory provision means that, while Council may delegate responsibilities to the Bureau, the Council must not renounce its authority to review the decisions taken by the Bureau. The Council does so by validating the Bureau decisions through a no-objection procedure conducted by email exchange. However, in order to extend the range of matters on which to entitle the Bureau to act upon with the purpose of enabling the Council to effectively exercise its strategic direction and oversight role, the Council amended Regulation 57 by establishing, as part of the Rules of Procedure of the Bureau, a list of specific matters on which the Bureau may decide directly. The Council may review and modify the list of "delegated matters" as and when necessary, in function of its experience with the delegation of responsibilities to the Bureau and the necessities of the time, and without having to go through the procedure for amending Regulation 57 in accordance with Articles 101-102 of the Statutes.

The procedure to validate Bureau decisions by a no-objection procedure is described in Reg 58.

Cf. Management Response to the External Evaluation of Aspects of IUCN's Governance (p.4)

Council Decision C/88/7
Cf. Annex 1 hereafter (Rules of Procedure of the Bureau)

§106 According to Regulation 57, the Bureau may also act on behalf of Council on any matters that Council may assign to it from time to time, usually by way of a Council decision ("requesting the Bureau to etc."), and any matters that may arise under Article 46 (b) to (q) of the Statutes. In other words, the Bureau may take a decision on any of the functions of the Council listed in Article 46 (b) to (q) of the Statutes at its own initiative, without first asking or receiving a mandate from the Council. All Bureau decisions must, however, be validated by the Council through a no-objection procedure.

The Rules of Procedure of the Bureau

§107 The Rules of Procedure of the Bureau define in more detail the mandate and composition of the Bureau, and its mode of operation. (Annex 1 hereafter)

§108 The Secretary to Council also acts as the Secretary of the Bureau. Official correspondence to the Bureau should be addressed to president@iucn.org.

12. Committees, working groups and task forces

§109 **Nomenclature of Council subsidiaries.** As part of the "Enhanced practice and reforms of IUCN's governance", the Council

Reg 59

amended Regulation 59 to clarify the nomenclature of the subsidiary bodies which Council may establish according to Article 50 of the Statutes:

Council Decision C/88/7, Annex 2, B3.1 to B3.6

i) standing committees formed by Council are called **committees**. The Statutes provide that they need to include at least, but not be limited to the Programme and Policy Committee, the Finance and Audit Committee and the Governance and Constituency Committee;
ii) limited-life bodies formed by Council are **working groups** and submit their report with draft decisions for approval by the Council or the Bureau;
iii) limited life bodies formed by a Council Committee are **task forces** and submit their report with draft decisions for approval by the Committee.

Stat 50

§110 The membership of the committees, working groups and task forces may be drawn from both within IUCN and outside IUCN in accordance with Regulations 59 and 60. As mentioned above in the section “Ensuring the right qualifications, skills and knowledge in Council”, Council is encouraged to use the possibility to include external individuals in Council committees, working groups and task forces in order to bring in needed skills and knowledge and the possibility to invite these individuals to participate as observers with the right to speak in the Council plenary. When giving effect to this, Council will need to consider the financial implications as the annual Budget would not normally cover such expenditure.

See above §15 on p. 7

§111 Once established, working groups or task forces may alter their composition provided this has no adverse impact on the approved annual IUCN budget. However, the Council may only delegate authority to any committee or working group to act on its behalf for specific purposes, when the majority of the members of the committee or working group are members of the Council.

§112 **“Delegated functions” of the standing committees.** Council advised that the Terms of Reference of the committees be amended to assign and delegate specific functions for which the committees are given responsibility and may propose decisions. The Council also “delegated” functions to the Congress Preparatory Committee.

These “delegated functions” are listed in Annex 2 (right hand column highlighted in green) of Council Decision C/88/7, Annex 2 (April 2016). They are also included in the draft Terms of Reference of the committees.

§113 As with any delegated authority, the Council can always withdraw or modify that delegation.

§114 The **Programme and Policy Committee (PPC)** assists the Council in providing strategic oversight of the implementation of, and advice on the development of the IUCN Programme and IUCN policy. The **Finance and Audit Committee (FAC)** assists the Council in providing strategic oversight on all matters relating to the organizational management of the Union, in particular the financial management, auditing of and fundraising for the Union and internal oversight and legal issues. The **Governance and Constituency Committee (GCC)** assists and provides advice to the Council with a view to maintaining an effective governance and an engaged membership of the Union.

For the draft Terms of Reference of the three standing committees of the term 2016-20, see Council documents C/92/4/1 to 3

§115 In order to make the most effective use of Council members’

time, the practice has been that each Councillor would be part of only one committee of Council throughout the term. The committee chairs are designated for the first half of the term and will be re-eligible at mid-term.

§116 **Reporting procedure.** With the purpose of enabling Council to use as much of its meeting time as possible for its strategic direction and oversight functions, the standing committees of Council, and if necessary the working groups of Council, will meet on the first day of Council prior to the plenary sessions of Council.

The written committee reports are either delivered in Word or PPT slides. The verbal report is usually supported by PPT slides.

§117 The recommendations and proposed decisions of the committees and working groups within their responsibilities will be circulated to Council members prior to the Council plenary sessions. This constitutes the written report of the committees to Council. The committees or working groups may specify issues that they wish to see debated by the full Council or the Bureau. They become the object of the verbal report of the committees to Council.

§118 Councillors or Bureau members will have until the close of business on the first plenary day of the Council meeting to express a desire to reopen the debate regarding any proposed decisions from the committees and working groups which the committees or working groups had not recommended to debate in the full Council. In all other cases, the Council will adopt the proposed decisions of the committees and working groups without debate.

Reg 59 (d)

§119 Committees and Working Groups may also hold meetings (either physically subject to the Council-approved budget or electronically) between meetings of Council. Recommendations and draft decisions resulting from these meetings shall be sent to Council or the Bureau (as appropriate) electronically for decision.

§120 The **terms of reference of the working groups and task forces** should be carefully reviewed by the Governance and Constituency Committee to ensure that the line between governance and management is not blurred.

§121 Council is to **review each working group and task force** with a view to reducing their number and incorporating as many of them within existing standing committees, also ensuring that those that are not incorporated into such a committee have a clearly limited duration related to the tasks that they need to fulfil. The terms of reference of working groups and task forces shall include a “sunset clause” specifying the duration of their mandate and requiring a specific decision of the Council or the relevant Council Committee to renew or extend their mandate.

§122 **Relationship with the Secretariat staff.** Just as committees (working groups or task forces) do not supplant Council, they do not take on day-to-day staff work. The Director General assigns appropriate staff members to support the work of each committee (working group or task force) or act as its secretary. Committee Chairs (and chairs of working groups or task forces) and Council members should not give directions or assign work to Secretariat staff unless that Staff member

Based on Council Handbook (2003), p. 27

has been assigned by the Director General or his/her delegated Director to work with them.

13. The Union Portal's section for Council

§123 To facilitate their access to information and Council documentation, the Council Secretary maintains a section for Council in the secured web based Union Portal. At the beginning of each term, Council members as well as the Deputy Commission Chairs receive their user ID and individual password enabling them to access the section for Council. Individual Council members' access will be de-activated three months following the end of the Congress at which they have not been re-elected.

Council section in Union Portal. Note: staff access only via the Secretariat tab on the Portal home page > (document icon) All IUCN Secretariat and Ramsar Staff > Documents tab > Programmes and Units > Headquarters > Union Development Group > IUCN Council

§124 A specific folder is established for the documentation of each Council and Bureau meeting, accessible to all Council members, the Deputy Commission Chairs and all IUCN Secretariat staff worldwide.

See the meeting folders for the Council 2017-20.

§125 Subsidiary bodies of the Council such as the standing committees of the Council (PPC, FAC and GCC) as well as working groups and task forces will each have a section in the Council pages accessible only to Council members who are members of the body concerned, the Director General, the Council Secretary, the Legal Adviser, the members of the Secretariat assigned to support the body concerned and to such other individuals (staff, external experts etc.) as may be determined by each body.

Access the sections for the Council's subsidiary bodies

Annex 1

Rules of Procedure of the Bureau of the IUCN Council

[Revision of the "Terms of Reference and Procedure for the Bureau of Council" approved by Council at its 73rd meeting in November 2009 (Council Handbook 2003, Annex IV) taking into account the decisions of the 88th Council meeting, April 2016]

Mandate of the Bureau

1. The Council shall establish a Bureau which shall act on behalf, and under the authority of the Council between meetings of the Council. (Article 49 of the Statutes)

2. As provided in Regulation 57, the Bureau shall act on behalf of Council on:

(a) any matters that Council may assign to it from time to time,

(b) those specific matters assigned to it by the Council as provided for in the list annexed hereafter which may be reviewed and modified from time to time by Council, and

(c) any matters that may arise under Article 46 (b) to (q) of the Statutes.

3. The primary purpose of the Bureau is to be an instrument for Council to ensure governance decisions are taken in the interest of the smooth functioning of the Union without having to wait for the next Council meeting. This may include urgent matters that require proper discussion and examination and can therefore not be adequately decided by mail ballot of Council, or matters of a more administrative or transactional kind in order to create more space on the agenda of the regular Council meetings enabling Council to effectively exercise its strategic direction and oversight roles.

Composition of the Bureau

4. The Bureau shall consist of the President as Chair, two Vice-Presidents, the Treasurer, one Commission Chair, two Regional Councillors, and the Chairs of the Programme and Policy Committee, the Finance and Audit Committee, and the Governance and Constituency Committee [Regulation 57 (a)]. The two Vice-Presidents and two Regional Councillors shall serve only through the first half of the term, and for the second half of the term shall be replaced by Councillors from other Regions and the two other Vice-Presidents. [Regulation (c)]

The Vice-Presidents, the Chairs of the standing committees of the Council and the Regional Councillors members of the Bureau may be appointed by consensus decision of the Council on the proposal of the President following consultation with Council members. (Council decision C/88/7) In the absence of consensus, a vote may be taken or elections may be held. The Council shall ensure adequate geographical and gender distribution in the Bureau. (Council decision C/73/15.3.a)

5. The Commission Chairs shall elect their representative to the Bureau at the beginning of the term of Council and again at midterm, it being understood that any

such representative who served for the first half of the term will be re-eligible at midterm. [Regulation 57 (b)]

Convocation and preparation of meetings

6. The Bureau shall be convened by the President. The President shall also convene the Bureau at the request of at least one third of the members of the Bureau.

7. With the President's agreement, the Secretary to Council shall circulate a draft provisional agenda to the members of Council for their comments and eventual additions, at least two weeks in advance of the Bureau meeting unless urgent circumstances justify a shorter delay.

8. The provisional annotated agenda and Bureau documents shall be distributed to all Council members at the same time as their distribution to the Bureau. Any comments or proposals from members of Council who are not members of the Bureau related to the Bureau agenda and documents, will be shared with the members of Bureau provided they reach the President or the Secretary to Council before the beginning of the meeting.

9. As the case may be, standing committees of Council shall communicate their recommendations to the Bureau, if possible one week in advance of the Bureau meeting.

Meetings of the Bureau

10. Meetings of the Bureau will normally be held by telephone or the use of Voice over the Internet Protocol (VoIP) technology (or a combination of both). Within the framework of the approved budget, the Secretariat will provide adequate technology and, where required, will assist individual members of the Bureau with VoIP. To maximize the economical benefits of VoIP, the members of the Bureau are encouraged to make use of the VoIP as much as possible.

The Bureau may meet physically at the occasion of each Council meeting or, subject to the Council approved budget, between meetings of the Council.

11. The President's convocation of the Bureau will indicate the time of the conference call for each Bureau member.

12. Bureau meetings shall be in English. Bureau members shall, if necessary, make provision for interpretation.

13. The Regulations regarding quorum, voting and conduct of Council meetings shall apply to the Bureau by analogy, with the understanding that, during meetings held remotely, in the absence of consensus, the vote shall be taken by roll call. If they have not yet been presented through the Bureau documents, the President shall read the text of draft decisions before they are approved or otherwise present them in such a way that all participants in the meeting of Bureau can take cognizance of them.

14. Decisions of the Bureau shall be made by a two-thirds majority of the votes cast. (Regulation 58)

Decisions taken by electronic communication

15. At the request of the President, the Bureau may take decisions by electronic communication. The draft decision together with documents, if any are provided, will be distributed to the Bureau with copy to the members of the Council, requesting Bureau members to cast their vote, together with an explanation of their vote if they so wish, within one week from the President's communication. Any comments or proposals from members of Council who are not members of the Bureau related to the proposed Bureau decisions shall be shared with the Bureau provided they reach the President or the Secretary to Council before the date and time by which Bureau members are requested to cast their vote.

Following the Bureau meeting or decisions taken by electronic communication

16. The Council shall validate the decisions of the Bureau through a no-objection procedure as described in Regulation 58.17. The decisions of the Bureau so validated shall be published on the IUCN website in the official languages of IUCN together with the documents approved, annexed or referred to in the decisions (in the language(s) in which they are available), in accordance with "The IUCN Council's Policy on Transparency" and all IUCN Members will be notified thereof.

18. As required by Council's Policy on Transparency, official documents distributed for discussion or consideration (decision) by the Bureau, bearing the Bureau document code, will be publicly available after the end of the Bureau meeting concerned, once they have been finalized. They are normally posted on IUCN's public website, in the language in which they have been submitted, at the time of publication of the Bureau decision(s).

19. As soon as possible after the meeting, the Secretariat shall distribute draft summary minutes to Bureau members for their comments. Two weeks following their distribution the summary minutes including the comments received from Bureau members will be considered as approved, except for any decisions for which Council members have objected as per Regulation 58, or unresolved issues in respect of the wording of summary minutes which will either be referred to the Bureau by mail ballot, or to the next meeting of the Bureau for resolution.

20. The approved summary minutes of the Bureau shall be made available to all Councillors via the Council section in the Union Portal.

Appendix to the Rules of Procedure of the Bureau

Specific matters on which the Bureau shall decide directly as assigned by the Council to the Bureau (decision C/88/7) in accordance with Regulation 57:

Statutes, 23:	Determining dates and venue of the World Conservation Congress
Statutes, 29 (c):	Proposing amendments to Rules of Procedure of the World Conservation Congress
Statutes, 38 (e) & Regulation 45 (b)	Appointing a Councillor from the State where IUCN has its seat
Statutes, 45	Inviting observers to Council meetings
Statutes, 46 (b)	Adopting and publicizing statements on important issues concerning the objectives of IUCN
Statutes, 46 (g), 83	Approving the DG's annual report, including the annual financial statements
Statutes, 46 (m) & Regulations 46, 73, 73*bis*	Appointing Commission Steering Committees
Statutes, 46 (o) & Regulations 45 (d), 87	Appointing the Legal Advisor
Statutes, 46 (q) & Rule 74, Regulation 28	Appointing the Election Officer
Statutes, 47	Establishing fees for participation in IUCN events
Statutes, 64	Authorizing leave of absence from Council
Statutes, 68	Convening Regional Conservation Fora
Statutes, 88 (e)	Commenting on the quadrennial draft Financial Plan
Statutes, 90	Establishing endowment funds
Rule 45	Consulting on the draft agenda of the World Congress
Rule 49	Setting the deadline for submission of motions
Rule 54 (b) x.	Approving the template for submitting motions
Rule 62*quinto* (a)	Deciding the dates for e-voting on motions
Regulations 8, 18	Admitting new IUCN Members with no objections[1]
Regulations 22, 23	Establishing groups for setting of dues for Category A Members and proposing Membership dues for Category B and C Members to Congress
Regulation 38	Setting the deadline for nomination of candidates for election as Regional Councillors
Regulation 43	Making Council awards for outstanding service to conservation
Regulation 48 (c) iii.	Receive written synthesis of Councillors self-assessments from the Vice-Presidents

[1] *"The admission of new IUCN Members which met with no objections from the IUCN membership has to remain with Council or with the Bureau between meetings of the Council (Regulation 18)." This was the conclusion of the Bureau when making its recommendation to Council on this point (quote from Summary Minutes of the 66th Meeting of the Bureau, February 2016). Council subsequently endorsed this point without modification (Council decision C/88/7, April 2016). In other words, the procedure introduced by Council in 2013 through an amendment to Regulation 18 stands: within a reasonable time following quarterly application deadlines, either the Council takes the decision when in session, or the Bureau between sessions of the Council.*

Annex 2

Strategic Planning and Reporting Framework

Approved by the IUCN Council, 88th Meeting, April 2016, decision C/88/7

As requested by the Bureau of Council[2], the Secretariat has reviewed the proposed Strategic Planning and Reporting Framework and produced an annotated table (hereafter) showing which reports are currently available, which are under development and where further discussion is warranted.

Based on on-going planning, monitoring and reporting work, the Secretariat will refine intersessional and annual planning and reporting (programme and financial) to better emphasize results and impact while demonstrating implementation and progress against the Sustainable Development Goals. Reporting on the One Programme Charter will aim to show Members' contribution to the IUCN Programme and implementation of the Resolutions and Recommendations.

Starting in 2017, the Programme and Project Portal will be the IT solution for project planning, management and reporting. The Portal will deliver a comprehensive portfolio monitoring platform, which will track delivery, compliance, results and expenditures. Results and impacts will be recorded and rolled up from individual projects to show global progress against the indicators of the IUCN Programme 2017-2020 and the Sustainable Development Goals. The Programme and Project Portal will initially be used by the Secretariat and future updates will enable reporting functionality for Members.

The emphasis on results and impacts related to the Sustainable Development Goals represents a fundamental shift in the way that IUCN plans and reports on its work as position's IUCN as a key leader for a significant portion of the SDGs. This will allow IUCN to draw on publicly available datasets to demonstrate its contribution to the SDGs

New planning and reporting work has started in the areas of DG's objectives, the Council work plan, a strategic risk matrix and refinement of reporting under the Risk Register.

Noting that "C9.1 The Council is yet to clarify what the "**Governance Compliance Inventory**" should contain in addition to the reports on legal liabilities which the Legal Adviser has been submitting to the FAC, and who should present it to Council,"[3] this has not been included in the annotated table.

[2] Decision B/66/2 of the Bureau of the IUCN Council, 66th meeting, 19 February 2016
[3] See section C9.1 of Annex 2 of Council decision C/88/7

Annotated Strategic Planning and Reporting Framework

Council requirement	Report	Type	Delegated authority	Focal point	Frequency	Status	Additional work required
Intersessional (quadrennial) Programme	Intersessional Programme	Planning document	Council	DG	Every four years	Normally produced every four years	Increased emphasis on results & impact, alignment with SDGs, use of Project Portal
	Outputs, (results) and Impact report	Monitoring & reporting document	Council	DG	Every four years	Normally produced in DG report to WCC	Increased emphasis on results & impact, alignment with SDGs, use of Project Portal
Commission planning and reporting	Commissions' work plans	Planning document	PPC, then Council	Commission Chairs	Annually and every four years	Normally produced annually and every four years (often jointly with Secretariat)	Refinement of planning tools to meet Commission needs
	Output, (result) and Impact	Monitoring & reporting document	PPC, then Council	Commission Chairs	Annually and every four years	Normally produced annually	Align Commission Reports in Council to annual reports
Congress Resolutions and Recommendations	Congress Resolutions and Recommendations	Planning document (WCC output)	Council	DG	Every four years	Normally produced – Proceedings of the World Conservation Congress	Could be more aligned to Programme workplan
	Implementation status report	Monitoring & reporting document	PPC, then Council	DG	Annually and every four years	Normally produced annually	Could be more aligned to Programme reporting
Annual workplan and Budget (combines two requirements)	Annual work plan and budget	Planning document	PPC, FAC, then Council	DG, Chief Financial Officer	Annually	Normally produced annually	Ensure alignment of plans to SDGs
	Programme and Projects Status Report	Monitoring & Reporting document	PPC, then Council	DG	Annually	Normally produced, covering progress against global results and priorities	Align reporting to global results, targets and indicators; align to SDGs
	Management accounts	Monitoring & reporting document	FAC, then Council	DG, CFO	Quarterly (proposed)	Normally produced twice per year	Decide whether to move to a quarterly report

Council requirement	Report	Type	Delegated authority	Focal point	Frequency	Status	Additional work required
One Programme Charter	Annual workplan	Planning document	Council	DG	Annual	Normally, planning for One Programme engagement included in Annual work plan	Enable planning through the Project Portal
	Strength of the Union indicators	Monitoring & reporting document	Council	DG	Annual	Normally, included in Annual Report to Council by the Secretariat	Refine One Programme Indicators; enable reporting by Members through Portal
Evaluations	Report on Evaluations	Monitoring & reporting doc.	Council and DG	Head, PM&E	Annual	Normally produced annually or on demand	Clarify reporting expectations

Other organizational planning and reporting

Council requirement	Report	Type	Delegated authority	Focal point	Frequency	Status	Additional work required
DG's Performance	DG's annual objectives	Planning document	Council	DG	Annual	Starting in 2016	
	Report on DG's annual objectives	Monitoring & reporting document	Council	DG	Annual	Starting in 2017	
Council planning and reporting	Council quadrennial work plan	Planning document	Council	Council	Annual	Starting in 2017 at first Council meeting	Produce a work plan
	Key tasks reporting	Monitoring & reporting document	Council	Council	Annual	Starting in 2018	Assign responsibility for tracking and coordinating preparation of a report
Strategic risk	Strategic risk matrix (in DG's report to Council)	Planning document + Monitoring & reporting document	Council	DG	Annual	Starting in 2016	TBD
Risk Register	Risk register & updates	Planning document + Monitoring & reporting doc.	FAC, Council	Head, Oversight	Twice per year	Normally produced	Identify top 10-15 risks

Annex 3

A Code of Conduct for IUCN Councillors

(Adopted by the 68th Meeting of Council on 20 November 2007 and modified by the 73rd Meeting of Council on 25 November 2009, the 75th Meeting of Council on 20 November 2010 and the 70th meeting of the Bureau on 6 June 2017)

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PART I

Definitions

In this Code, unless the context reasonably indicates otherwise:

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

"*Council Handbook*" means the IUCN *Council Handbook and Performance Tools* produced by the IUCN Governance Task Force, accepted by the IUCN Council at its 58thMeeting on 4 June 2003 and adopted under Regulation 48*bis*.

"Council member" means each elected or appointed member of the IUCN Council as provided in Article 38 of the Statutes.

"*Disclosure Form*" refers to an obligatory standard form that each Council member must compile and submit to the Chairperson of the Ethics Committee of the IUCN Council annually by a specified date proposed by the Ethics Committee and agreed by Council.

"*The Ethics Committee*" is comprised of the Vice Presidents, and its mandate is to oversee and administer the interpretation and application of this Code.

"*Expulsion*" from Council means the removal of a Council member from his/her position on the IUCN Council following suspension, pursuant to Article. 65 of the Statutes.

"*Gifts*" means objects, services and/or other benefits that are offered to a Council member and whose value, as assessed by an independent valuator, exceeds two hundred (200) Swiss Francs,

"*Honorarium*" means a payment offered to a Council member for a task undertaken in that member's capacity as an IUCN Council member.

"*Leave of Absence*" means permission for a Council member to be excused from his/her Council obligations for a specified period of time or Council meeting(s) without being subject to vacation of office, pursuant to a request that must be submitted by the Council member and affirmatively approved by Council (see Article. 64 of the Statutes).

"*Regulations*" means the IUCN Regulations as adopted by the World Congress and amended by Council from time to time.

"*Statutes*" means the IUCN Statutes as adopted, revised and/or amended by the World Congress from time to time.

"*Suspension*" means the temporary relieving of a Council member of his/her duties pending a final determination of expulsion under Article. 65 of the Statutes.

"*Threatened,*" in reference to animals and plants that constitute all or part of a gift offered to a Council member, means animals and plants that are included in the categories critically endangered, endangered and vulnerable of the IUCN Red List in effect at the time at which the gift is offered to a Council member.

"*Vacation of Office*" means the automatic vacation of the office of a Council member under Article 64 of the Statutes.

PART II

Preamble

Since 1948, the International Union for Conservation of Nature and Natural Resources (IUCN) *(*hereafter referred to as "IUCN" or "Union"*)* has led the development of conservation knowledge, and brought together governments, non-governmental organizations, scientists, companies and community organizations to help the world make better conservation and development decisions.

IUCN Council members are entrusted by the Union that has elected or appointed them, with significant responsibilities for ensuring that IUCN carries out its mandate as prescribed in its Statutes and Regulations.

By accepting to serve on the Council, Council members commit to conduct themselves in accordance with the highest ethical standards in carrying out their responsibilities, as required by Articles 59 and 60 of the Statutes and other applicable provisions in the Statutes and Regulations.

Council has therefore adopted this Code of Conduct, which provides ethical standards and criteria to which all its members are required to adhere in the performance of their responsibilities to IUCN.

The Council has responsibility for the oversight and general control of all the affairs of IUCN, subject to the authority of the World Conservation Congress. The composition, functions, rules and procedures of Council are prescribed in the Statutes, Regulations and Resolutions of IUCN. Council is further guided by the Council Handbook.

PART III

Duties of Members of the Council

a. Reasonable Care

The duty of reasonable care describes the level of attention and competence expected of a Council

member. To fulfil this duty, Council members must exercise the same care than an ordinary prudent person would exercise for his or her own personal business in a like position and under similar circumstances. Ways in which to exercise reasonable care include preparing for meetings, attending meetings and participating in discussions by asking questions and offering advice, and taking on and performing additional duties and responsibilities as reasonably requested or necessary.

b. Loyalty

The duty of loyalty embodies a standard of faithfulness to the organization. This fundamental responsibility is to give undivided commitment to IUCN when serving as a Council member.

c. Respect

The duty of respect requires the Council members to be faithful to the Mission of IUCN. While Council members may and should exercise their own reasonable judgement concerning how IUCN should best meet its Mission, they have a duty to act in a way that respects the Objectives of the Union. In addition, Council members should understand and act strictly in accordance with the Statutes and policies that control IUCN governance and operations. Council members should equally be respectful of the personal and professional integrity of Secretariat staff and of their fellow Council members.

d. Transparency

The duty of transparency requires Council members to carry out their responsibilities in a general spirit of openness and transparency, but Council may decide to meet in a closed session to discuss confidential matters pursuant to Article.58 of the Statutes.

e. Confidentiality

Council members have a duty of confidentiality and must exercise sound judgment in refraining from disclosing to outside parties the internal deliberations of the Council, including written and electronic correspondence, where such disclosure could jeopardise Council's decision-making process, bring Council and/or individual Councillors and/or staff into disrepute, or otherwise be detrimental to IUCN's interests. This is an absolute requirement in the case of information or documentation (i) identified as being confidential or (ii) discussed when Council is sitting in a closed session. Council members should be able to freely express themselves at Council meetings on IUCN business matters without fear of being quoted to unauthorized outside parties.

PART IV

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Conduct

Council members shall observe the highest standards of ethical conduct. In the performance of their duties, they shall carry out the mandate of Council to the best of their ability and judgment.

a. Disclosure of Interests

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

b. Conflicts of Interest

A conflict of interest situation may arise if a Council member has competing professional or personal interests, since such competing interests can make it difficult to fulfil his/her duties impartially. Even if there is no evidence of improper actions, a conflict of interest can create an appearance of impropriety that can undermine confidence in the ability of that person to use his/her position with proper ethics. A conflict of interest can exist even if no unethical or improper act results from it.

It is a fundamental principle that any financial or other benefit accepted by a Council member, whether direct or indirect, must in no way affect or be perceived as affecting the independence of that Council member, and that Council member must put and be seen to be putting IUCN's interests above any others.

Council members should arrange their private and other professional affairs in a manner that will prevent actual, perceived or potential conflict of interest. Whenever a Council member is in a conflict of interest situation as defined herein, that Council member is under an affirmative duty of disclosure to the Ethics Committee.

It will be the task of the Ethics Committee to review all relevant facts and circumstances and, on that basis, to determine to what extent that Council member will be directed to recuse him/herself from that role or to put an end to that relationship in order for him/her to be permitted to continue to serve as a member of Council.

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

c. Consensus

Council members have a duty to participate actively in the deliberations and decision-making process of Council. Once a final decision has been taken on a matter before Council, Council members have also a duty to support that decision.

d. Reliability

Council members have a duty to attend all meetings of Council.

In the event that a member is absent without leave of absence from two (2) consecutive Council meetings, the Governance Unit will contact the member to send a warning and remind him or her of the provisions of Article 64.

Council members are also strongly encouraged, where feasible, to attend meetings of National and Regional Committees within their Regions.

e. Utilization of Resources

Council members have a duty to use prudently any resources, financial or other, provided by IUCN to them to carry out their duties. IUCN resources should only be utilized to execute the duties and commitments of Council members.

f. Conduct within the Union

Council members have a duty to treat their colleagues and IUCN staff with courtesy and respect, without harassment and without physical or verbal abuse.

Council members have a duty to exercise control and supervision over matters for which they are individually responsible.

g. Public Statements

When making public statements verbally or in writing in their capacity as members of Council, members should make it clear whether they are communicating in their personal capacity (*i.e.*, giving their personal view, not an IUCN view) or on behalf of IUCN (i.e., giving the official/institutional position of IUCN). If Council members speak on behalf of IUCN, they should make clear in what capacity and by which authority, with due consideration of the revised Policy System adopted by Council in its decision C/56/17. Council members may not represent any organizations in addition to IUCN at the same time whilst making any public statement, except where IUCN and such other organizations have explicitly authorized such representation beforehand.

Before Council members engage in making any public statements, including speaking to the media, it is strongly recommended that they:

(i) ascertain whether or not the matter is being dealt with in the Secretariat and obtain relevant information from the Director General;
(ii) have a clear understanding of the issues;
(iii) be thoroughly familiar with IUCN policy as set forth in IUCN Resolutions and Recommendations and with Council's plans for implementation of that policy;
(iv) be thoroughly aware of any sensitivities on that particular or other related subjects within IUCN membership; and

(v) have reasonable grounds to consider themselves expert on the matter at hand.

If Council members have any doubt that they do not meet any one of the criteria above, then they have a duty to refrain from making the public statement and they may refer the matter to other Council members who would meet all the criteria, or alternatively to the Director General.

h. Gifts

Council members are encouraged to refuse gifts or other benefits (including but not limited to subsidized holidays) from any sources external to IUCN offered to that member in connection with the member's office in the IUCN Council. However, gifts may be accepted, if:

(i) in the Council member's reasonable judgment, refusal to accept would offend or embarrass the donor or IUCN;
(ii) the gift does not comprise or include, to his/her or his/her family's knowledge, parts or products of globally threatened species; and
(iii) the value of the gift or benefit does not exceed two hundred (200) Swiss Francs.

In general, Council members may accept reasonable hospitality, such as meals or local transportation, in the course of their normal IUCN duties.

If Council members are offered a gift or benefit for which the value exceeds the two hundred (200) Swiss Franc threshold, they have a duty to decline, explaining the IUCN Council policy on gifts. Nonetheless, in cases where Council members reasonably must accept the gift due to special circumstances, for example, when the donor will most likely be offended based on his or her cultural norm, Council members must inform the Chairperson of the Ethics Committee for proper disposition of the gift.

Details of gifts of above two hundred (200) Swiss Francs, which Council members accept in their capacity as Council members, must be submitted to the Chairperson of the Ethics Committee on the appropriate form within sixty (60) days of receipt. Failure to declare any gifts as prescribed herein will be referred to the Ethics Committee for review, report back and recommendation to Council.

The Ethics Committee will make a determination on whether to dispose of the gift with the proceeds benefiting IUCN, whether to retain it in IUCN's ownership, or whether to give dispensation to the Council member to retain the gift. In the event of a decision to dispose of it, the original recipient will have, upon request, first option to purchase it at a price established through an independent appraisal.

If a member has any doubt, he/she is required to seek advice from the Chairperson of the Ethics Committee or, if this is not practical, from any other member of the Ethics Committee.

i. Compensation

Members of Council serve in a voluntary capacity (*i.e*, without receiving remuneration from IUCN for their service).

Council members may seek reimbursement of the cost of their travel and subsistence (in this section referred to as "expense(s)") for meetings of the Council in accordance with the Council approved Policy on the Reimbursement of Travel Expenses to Council members for attending meetings of Council, or when undertaking special missions for the Union as agreed or authorized in advance within the context of the Union's Programme of action.

When a Council member accepts an engagement on behalf of IUCN, for which IUCN pays travel and subsistence in accordance with its policies, any expense reimbursement or honorarium, if offered, may be accepted and shall be remitted to IUCN. If a Council member accepts an engagement on behalf of IUCN for which IUCN does not pay any travel or subsistence, then the Council member may retain from any honoraria and expense reimbursement offered, a total amount as allowed in accordance with Council approved Policy, with any remaining balance to be remitted to IUCN.

j. Communication practice

Members of Council should:

1. largely focus on their global role as Councillors of a global Union,
    - providing policy-level guidance to the Director General and the Commissions, particularly on issues of substance or governance;
    - encouraging coherence among the different parts of the Union, needed to facilitate the design and implementation of the "One Programme";
    - exercising fiduciary and supervisory responsibility over the affairs of the Union, including overall approvals for the Union's budget and plan;
    - monitoring and evaluating the performance of the Director General and holding her/him accountable for the performance of the Secretariat and implementation of the Programme;
2. comment only on those issues that are of direct interest to them or relevant to their respective roles on Council and avoid overloading colleagues and communication channels with inputs that do not add value to the discussion;
3. copy messages to other recipients only on a 'need or desire to know' basis and not overload the mailboxes of fellow Councillors who are not or do not wish to be in that information loop;
4. copy to relevant members of the Secretariat those exchanges among Councillors that they need to see to ensure that they can provide informed, appropriate and consistent support to the Council;
5. use more effective channels than broadcast email for sensitive issues, e.g. to IUCN's National and Regional Committees, to address national or regional matters with the Director General;
6. refrain from public discussion (i.e., outside the Council meeting) on personnel or other decisions that are the prerogative of the Director General. Where necessary, these should be taken up

directly, one-on-one with the Director General. If email copies on these subjects cannot be avoided, they should be sent ONLY to the parties directly concerned with the particular issue;

7. use good practices as the governing body of IUCN to set the right tone in our communication with each other and with the Director General and Secretariat, and to set an appropriate level for Council involvement; and

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

k. Conduct in the process of selecting the venue of the next World Conservation Congress

No IUCN Council member may obtain property, financial advantage or any other benefit including but not limited to soliciting or accepting any gift, hospitality or value in kind from any Candidate (directly or indirectly) that could be seen as affecting the person's impartiality with regard to the selection process in line with the Code of Conduct for IUCN Councillors.

No IUCN Council member or IUCN staff member may provide support to a Candidate in preparing their proposal.

PART V

Implementation of the Code of Conduct

a. *The Ethics Committee of the Council*

The Vice Presidents will constitute the Ethics Committee, consistent with Regulation 48 (c) (i) and (iv). The Committee shall be responsible for consideration and administration of all matters relating to this Code and for assisting the Council in implementing the provisions of Article 65 of the IUCN Statutes and all other statutory provisions relevant to the ethical conduct of Council members.

The Vice Presidents shall elect a Chairperson from amongst themselves for the purpose of implementing the Code of Conduct. If the ethical conduct of a member of the Committee comes under consideration by the Committee, that member shall *ipso facto* be excluded from the Committee's deliberations on that matter, and may be excluded from the Committee's deliberations on any other related matters upon the unanimous decision by the other Committee members.

The Ethics Committee shall maintain a secure permanent written and/or electronic record of their work in such a way as they may determine.

Attendance at the meetings of the Ethics Committee shall be restricted to Council members whose participation the Committee deems to be necessary or beneficial to its deliberations.

The Ethics Committee shall consider any alleged misconduct by a Council member, any conflict of interest issues and any other matters brought to its attention that are related to or fall within the scope of the provisions of this Code of Conduct. The Council member concerned shall, in all cases, be given the opportunity to respond to the allegations before the Committee.

If a majority of members of the Ethics Committee who are entitled to vote on the matter concerned, determines that misconduct has been committed, and taking into account the nature and seriousness of the misconduct, the particular circumstances and the member's prior record of conduct, the Committee shall make recommendations to the Council on the appropriate action to be taken. Such recommendations may include the following:

(i) taking no further action and closing the matter;
(ii) issuance of a warning to the Council member;
(iii) issuance of a warning to the Council member together with a statement to be minuted; or
(iv) suspension or expulsion of the Council member.

If a majority of members of the Ethics Committee who are entitled to vote on the matter, determines that there was no misconduct, the Council member concerned shall be so informed and no recommendation or other communication to Council shall be made, unless it is agreed by both the Committee and the member concerned that an agreed communication would be desirable.

Upon receiving the recommendations of the Ethics Committee excluding possible suspension and/or expulsion, the Council shall give them due consideration. If Council cannot agree by consensus on what action to take, a secret vote shall be taken and the decision will be carried by a simple majority.

In the case that a recommendation by the Ethics Committee to Council entails or includes possible suspension and/or expulsion, the provisions in Article 65 of the Statutes shall apply.

b Application

The provisions of this Code shall apply to all elected and appointed members of Council.

c. Adhere to Code and Signature

A copy of the Code of Conduct then in effect shall be attached to the nomination forms for any person seeking or accepting to stand for election or appointment to a position on Council.

By signing a nomination to be elected or appointed as a Council member, such a candidate agrees to submit to the provisions in the Code of Conduct both during and, where relevant (e.g in relation to confidentiality, respect etc), after their term has expired.

In order to ensure that all Council members fully understand the importance, responsibility and implications of their compliance with the Code, they will be required to sign two original counterparts of the Code during the first full meeting of Council at Headquarters after the World Conservation Congress. For those members who might be absent at that meeting, two originals shall be sent to them by courier

for signature: the Council member will keep one signed original and shall return the other to the Ethics Committee within sixty (60) days after the date of the referenced Council meeting.

In the event of a member failing to sign the Code as indicated above, the member concerned will be considered as having acted in a manner seriously inconsistent with that member's duties and the provisions in Article 65 of the Statutes shall apply.

d. Revision of the Code

Any Council member may seek a revision of the Code or an amendment of a specific section of the Code by submitting a formal request to the Chair of the Ethics Committee, who shall place the matter on the agenda of the Committee for consideration at the first opportunity after such a written submission has been received. If agreed by the Committee, the proposed revision or amendment will be submitted to Council for approval.

e. Enforcement

Unless otherwise decided by Council or expressly provided for in the Code, all matters concerning breaches and enforcement of the Code will be reviewed by the Ethics Committee. Any Council member may submit details of any such breach to the Chair of the Ethics Committee, who shall place the matter on the agenda for consideration at the first meeting of the Ethics Committee after such a complaint has been received. The Ethics Committee shall endeavour to deal with the matter as expeditiously and objectively as possible.

Unless otherwise instructed by Council, the Ethics Committee will investigate any allegations submitted to it and where necessary report back to Council with appropriate recommendation(s).

f. Information and its sources

Any information relevant to matters that fall within the scope of this Code is to be reported to the Ethics Committee, together with all supporting evidence.

The Ethics Committee will undertake such investigations as it believes necessary. The Ethics Committee will, as far as possible, undertake all its work, in keeping with the principles of natural justice. At the same time the Committee has a duty to protect information received, and its source, where disclosure might, in the Committee's view be detrimental to its work, or detrimental to the interest of the person/s who has(ve) supplied information to them."

Appendix 1

Procedure for dealing with issues submitted to the Ethics Committee for consideration and decision

(approved by the IUCN Council at its 75th Meeting in November 2010)

In reviewing any issue submitted to it, the Ethics Committee ("EC") shall apply this procedure **always consistent with and subject to relevant provisions of the Code of Conduct for Members of the Council** ("Code of Conduct"):

- maintaining strict confidentiality; the EC will disclose the issue only the President, the DG, and any other person who, in the reasonable opinion of the EC, may have information relevant to the issue;
- detailed records will be kept during the process and filed by the Governance Officer who will provide general secretariat support to the EC;
- the Council member who is charged with the alleged misconduct will be contacted only after discussion and agreement between the members of the EC and following procedure;
- the agreed decision and further course of action, including both the rationale for the decision and, as required under Part V of the Code of Conduct, (a) any specific recommendation to be made to Council or (b) the communication to the Council member involved that no misconduct was found, will be documented and filed.
- The Council member charged with the alleged misconduct shall be afforded, *inter alia*, the following rights: (a) to know the origin and nature of the allegation, (b) to be given reasonable time, information and opportunity to respond to the allegation, and (c) to be allowed fair and objective consideration of his/her response.

Steps in addressing and deciding an ethical issue:

1. The issue is documented by the Director General or the President, via the Governance Officer, with all relevant information, including: outline and materials related to the issue (including hard copy and electronic documents); identity of parties involved; bases/sources of authority for consideration by the EC (*e.g.*, IUCN Statutes and Regulations, Council Handbook, Code of Conduct) (all this constituting and referred to as the "File").
2. The EC is provided with the File and any other appropriate information and background documentation. In each case, the Vice-Presidents shall, upon receiving the File, elect a Chairperson amongst themselves for the purpose of facilitating the work of the EC.
3. If, upon initial review of the File, the EC determines that the allegations and the supporting evidence before it could not reasonably constitute misconduct, the EC shall inform the President and/or the Director General that there are no grounds to further investigate the case, and the file shall be closed. In such case, the EC shall not communicate on the matter with the Council member concerned unless unusual circumstances reasonably require otherwise (*e.g.*, the Council member concerned found out about the allegations seeks information on the status of the matter).
4. If, upon initial review of the matter, the EC determines that the allegations and the supporting evidence before it reasonably could constitute misconduct, then it shall investigate the case. And to that end, it shall decide the process, timetable and logistics **(**including contacting and requesting a meeting with the Council member concerned), and who will be assisting it in addressing the issue (*e.g.*, the IUCN Legal Adviser and members of the Secretariat, as may be necessary and appropriate). All

requests for documentation or cooperation from the Secretariat will be addressed to the Director General, who may delegate specific tasks to members of staff in each case.

5. After the EC has investigated the case, it shall determine whether or not there was misconduct on the part of the Council member concerned, and consistent with that determination it shall take either one of the following steps:

   5.1 If the EC determines that there was misconduct, then it shall make "recommendations to Council" as prescribed in the Code of Conduct.

   5.2 If, on the other hand, the EC determines that there was no misconduct, then it shall so inform the IUCN President and either he/she or the EC Chairperson shall communicate the EC's determination to the Council member concerned. In this case, the Code of Conduct prescribes that "no recommendation or other communication to Council shall be made, unless it is agreed by both the Committee and the member concerned that an agreed communication would be desirable."

6. In reviewing the File and discussing the issue, the EC shall establish a detailed record of:

   - its initial assessment of the issues in light of the allegations made;
   - provisions in the Statutes or other sources of authority that are/may be applicable and relevant to the issues at hand;
   - clear and complete definition of the exact nature of the issues that are to be reviewed and decided; and
   - decision on the issues and on next steps to be taken pursuant to the Code of Conduct, *i.e.*, either communicating the finding of "no misconduct" to the concerned Council member, or making "recommendations to Council on the appropriate action to be taken" (Code of Conduct, Part V).

7. The EC shall discuss the issue(s) with the Council member concerned only in a properly convened meeting, avoiding one-to-one communications between any of its members and the Council member unless the EC specifically delegates one of its members to so proceed.

Annex 4

Examples of the implementation or interpretation of the Code of Conduct

(See §35 on p. 12)

Annex 5

Performance Commitment for IUCN Councillors

(Approved by the IUCN Council at its 94th meeting, May 2018, C/94/19)

(To be read by each candidate accepting a nomination to become a member of the IUCN Council. All elected and appointed Councillors are invited to sign this commitment at the time of their nomination or appointment.)

Background

The IUCN Council is taking steps to improve the effectiveness and efficiency of its governance system. Effective members of Council are a critical part of the IUCN governance system. One of the steps being taken to ensure an effective Council is to strengthen the nomination process for Councillors to ensure that criteria and expectations of what it means to be an IUCN Councillor are clear when nominations are accepted, and that Councillors make a commitment to fulfil these criteria.

The following Commitment sets out a minimum level for your participation and input to the work of the IUCN Council. Your commitment as a member of the IUCN Council is to be seen in the broader context of the overall role of the IUCN Council as set out in Articles 37–65 of the IUCN Statutes.

Performance Commitment

As a duly elected member of the IUCN Council, I agree to do my best to fulfil my duties as an individual Council member. These are to:

1. **Participate fully in the work of the Council**, by

   a) taking part in official Council meetings as notified by the Secretariat at least one month in advance. This may include physical attendance or video- and tele-conferencing;

   b) providing meaningful responses to official Council communications requesting comments and inputs to such Council matters as minutes, committee proposals and decisions on any matters on the Council agenda;

   c) participating in subcommittees and Task Forces of the Council, whether as assigned by the President or on a voluntary basis; and

   d) duly engaging in Council's role to set strategic direction and exercise oversight of IUCN bestowed upon me by IUCN Members as provided in the Statutes and Regulations.

If, for any reason, I am not able to attend duly notified Council meetings for a prolonged period of time (three consecutive Council meetings) or to participate by some other means (telephone, email) to the satisfaction of the Bureau of Council, I agree to step down from my position as Council member and to allow the Council to replace me, as provided under the Statutes (Article 64).

2. **Serve on the Council of IUCN on a voluntary basis**, receiving no financial payment for my work as a Council member, other than reasonable reimbursement of expenses incurred in carrying out my Council duties, as set out in the Statutes (Article 63).

3. **Abide by accepted codes of conduct** and duties, specifically the Code of Conduct for IUCN Councillors which forms an integral part of this Agreement. I will review and avoid any potential conflict of interest and each year submit the conflict of interest disclosure form to the Ethics Committee of Council.
4. **Comply with all applicable laws and regulations of IUCN** relating to Council members.
5. **Respect the confidentiality of all information** declared by the Council to be confidential and received by me in any medium, including verbal, electronic or written.
6. **Remain accountable to the constituency of IUCN** – the membership.
7. **Acknowledge that,** if I am not able to fulfil these obligations as a Council member to the satisfaction of the Council, **Council has the right to suspend and expel me** subject to Article 64 and Article 65 of the Statutes, and to find a suitable replacement for me on the Council of IUCN.

Signature of IUCN Council member

Date

Annex 6

IUCN Councillor Activity Report

(Approved by the IUCN Council at its 94th meeting, May 2018, C/94/19)

The IUCN Council is taking steps to improve the effectiveness and efficiency of its governance system. One of the measures being taken is to encourage all Councillors to report to Council on activities as an IUCN Councillor – at global level, regional level and national level (if applicable).

The following Councillor Activity Report outline provides a basic template for you to use in summarizing your activities as an IUCN Councillor in the period since the last Council meeting. The examples of activities relate to the statutory duties of Council members and are drawn from the role, functions and qualifications required for election approved by the Council.

Please complete the Activity Report at the end of each period between Council meetings, and post it in the Council section of the Union Portal (restricted to Council members only), or submit it by email to the Secretary of Council who will upload it in the Council Portal, before the beginning of the Council meeting. Please keep the total length of your report to maximum two pages.

To minimize the financial implications, the reports will not be translated. Council members are encouraged to submit their reports in English or, if possible, together with an English courtesy translation.

Name of Councillor:

Reporting period:

1. Global level activities

As Council members serve the global interests of IUCN, fulfilling the functions of the IUCN Council as outlined in the IUCN Statutes (setting strategic direction for the Union, exercising oversight of the performance of the Union, and carrying out fiduciary responsibilities), examples of activities in this category include participation in Council and Council Committees, Task Forces and Working Groups, and taking part in global events in coordination with the Director General. Please list the dates of this work, and briefly describe the nature/extent of your involvement and the significance of this work for IUCN.

2. Regional level activities

Examples of activities in this category include specific regional activities carried out in your capacity as IUCN Councillor, such as input to the Council on the collective interests of the IUCN Members in the Regions, reporting back to Members on Council decisions, participation in Regional Conservation Fora and work of the Regional Committees, or work with IUCN Regional Committees, IUCN Commissions, IUCN Regional Offices and Members to promote the work of the Union and develop the membership in the Region. Please list the dates of this work, and briefly describe the nature/extent of your involvement and the significance of this work for IUCN.

3. National level activities

Examples of activities in this category include participation in the work of National Committees of IUCN, and other national-level IUCN related activities. Please list the dates of this work, and briefly describe the nature/extent of your involvement and the significance of this work for IUCN.

4. Other activities

List any other activities that you have carried out in your capacity as IUCN Councillor that you feel are of significance to IUCN.

Annex 7

Self-Assessment of IUCN Council members and Evaluation of the IUCN Council Meeting

(Approved by the IUCN Council at its 94th meeting, May 2018, C/94/19)

1. Introduction

Effective members of Council are a critical part of the IUCN governance system. As a member of Council, you are encouraged to reflect on your performance as an individual member of Council, and on the overall functioning of Council as a whole.

The following questionnaire is a tool enabling Council members to evaluate the effectiveness of Council during its most recent meeting and to assess their own performance as members of the Council during that meeting and in the period since the previous Council meeting.

Please complete the following questionnaire either electronically or on a hard copy, if possible within 7 days of receipt of the questionnaire. Please return any hard copies to Luc De Wever, Sr. Governance Manager, Secretary to Council.

Your feedback will remain anonymous. A compilation of the results will be shared with the President and Vice-Presidents who will transmit to Council a synthesis of the Council members' feedback together with details of any follow-up actions they have taken or that they recommend to the Council.

Rating options range from 5 (very satisfied / strongly agree) to 1 (very dissatisfied / strongly disagree).

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2. Performance of Council at this Meeting

Please indicate how much you agree with each of the following statements by checking the appropriate box. Add any comments in the last column.

Council effectively fulfilled its role to set strategic direction for IUCN	5 4 3 2 1	
Council effectively fulfilled its role to oversee the performance of IUCN	5 4 3 2 1	
Council effectively fulfilled its fiduciary responsibilities	5 4 3 2 1	
Council functioned as a cohesive body, with members actively participating and treating each other with respect	5 4 3 2 1	
Council members were well prepared	5 4 3 2 1	
I am satisfied with the quality of decisions made by Council at this meeting	5 4 3 2 1	
Effective use is made of the Bureau in order to optimize the time available in Council for issues of strategic importance	5 4 3 2 1	

Do you have suggestions on how the overall effectiveness of Council can be improved?

Do you have suggestions on how to improve your own effectiveness as a Council member during Council meetings?

3. Leadership and Management of Council at this Council Meeting

Please indicate how much you agree with each of the following statements by checking the appropriate box. Add any comments in the last column.

The Council plenary agenda was sufficiently focused on strategic	5 4 3 2 1	

issues		
My time was well used in Council plenary sessions	5 4 3 2 1	
I was well briefed by the background materials provided by the Secretariat for this Council meeting	5 4 3 2 1	
The specific guidance required from Council on each agenda item was clear to me	5 4 3 2 1	
The time provided on the agenda for the business of Council was appropriately allocated	5 4 3 2 1	
The Chair managed the Council agenda in a timely manner	5 4 3 2 1	
The Chair encouraged all Councillors to participate in Council	5 4 3 2 1	
The Chair facilitated sound decision making by Council	5 4 3 2 1	
The Chair resolved conflicts when appropriate	5 4 3 2 1	
The Secretariat made an effective contribution to the (content of the) Council meeting	5 4 3 2 1	
The Secretariat provided adequate logistical and organizational support for this Council meeting	5 4 3 2 1	

Do you have suggestions on how to improve the leadership and management of Council?

Do you have suggestions on how to improve the logistical and organizational support for Council meetings (incl. travel and hotel arrangements)?

How might your skills be better utilized during the Council meeting?

4. Performance of the standing committees of the IUCN Council

Please check the committee of which you are a member:

☐ Governance and Constituency Committee
☐ Finance and Audit Committee
☐ Programme and Policy Committee

Please indicate the extent to which you agree with the following statements about the Committee of which you are a member. Add any comments in the last column.

The Committee was well led / chaired	5 4 3 2 1	
The Committee was well supported by the Secretariat	5 4 3 2 1	
The Committee focused on important strategic issues facing the Union and its results will make a significant contribution to the advancement of IUCN's Mission	5 4 3 2 1	
The committee is effectively assisting the decision process in Council	5 4 3 2 1	
Serving on this Committee was a valuable use of my time	5 4 3 2 1	

What could be done to improve the effectiveness of your committee, incl. to better utilize your own skills?

Do you have suggestions on how to improve your own effectiveness as a member of a Council committee?

5. Task Forces and Working Groups

Please check the Task Force / Working Groups that you served on since the last Council meeting:

☐ …
☐ …
☐ …

Please indicate the extent to which you agree with the following statements about the Task Force/Working Group you served on during the period since the last Council meeting. Add any comments in the last column.

The Task Force/Working Group focused on important strategic issues facing the Union and its results will make a significant contribution to the advancement of IUCN's Mission	5 4 3 2 1	
The Task Force/Working Group was well led / chaired	5 4 3 2 1	
The Task Force/Working Group received adequate support from the Secretariat	5 4 3 2 1	

If the Task Force / Working Group on which you served is to continue its work in the period until the next Council meeting, what could be done to improve its effectiveness, incl. to better utilize your own skills?

Do you have suggestions on how to improve your own effectiveness as a member of a task force / working group?

6. My role as a member of the IUCN Council between Council meetings

Please indicate how much you agree with the following statement by checking the appropriate box. Add any comments in the last column.

The role that I should play as a Council member between Council meetings is clear to me	5 | 4 | 3 | 2 | 1	

How might your skills be better utilized between Council meetings?

7. Additional comments

What suggestions do you have to improve this evaluation and self-assessment process?

Anything else you wish to suggest with regard to Council's effectiveness and your own performance as a Council member that has not yet been covered by this questionnaire?

Thank you for your feedback!

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

GOVERNANCE AND CONSTITUENCY COMMITTEE (GCC)

Meeting of Sunday/Monday 29-30 April 2018

Report to Council

(Approved by the IUCN Council, 94th Meeting, May 2018;
modifications to the report approved by Council are shown with track changes)

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

GCC/ 2.1.1	**Membership applications** **Consideration of 13 membership applications, including the deferred application from Tajijin (AITA Foundation)** The GCC reviewed: 1. 12 new membership applications, which have received no objections from IUCN Members and fulfill the requirements of the IUCN Statutes and Regulations (Annex I). 2. One membership application, which received objections from IUCN Members, which was considered by previous meetings of the Council/Bureau and for which the decision was deferred to the 94th meeting of Council in April 2018. - Tajijin (AITA Foundation), China (discussion page on Portal) **Azat Foundation (Pakistan)** Some concerns were raised with regards to the conservation record of the **Azat Foundation (Pakistan)** and it was also noted that this was a human rights organization. The applicant has indicated that they work in three areas – water programme, drylands (development) and solar . GCC asked whether this was sufficient to meet the admission requirements. The GCC Chair reminded the group that (1) rights and governance were a key part of the programme and (2) aspiration cannot be used as a criterion for admission. Track record is what counts. After thorough discussion, it was agreed that Azat Foundation fulfilled the requirements of membership. Some issues raised in discussion: It was critical that the GCC consider the membership composition of IUCN, and ask what are the needs and gaps. It was proposed that this should be a key discussion at the next Council in Jeju. It was also highlighted that it would be useful to spend some time discussing issues such as the criteria and what conservation actually means to help us better assess membership applications What does IUCN's work tell us about what conservation means? The programme is key – the three core areas to help us understand what conservation means for IUCN. Using the Programme as a guide along with the work of the different components is what gives us the best understanding of conservation from an IUCN perspective. Some members of the GCC felt that the application was borderline but following discussion, the GCC unanimously agreed to accept the application. **Association Française des Entreprises pour l'Environnement (France)** Some concerns were also raised on the application from the Association Française des Entreprises pour l'Environnement (France) – EpE: Is this a backdoor entry? Whilst EpE is an association and in this capacity is eligible for IUCN membership they have members (such as Bayer and Monsanto) who cannot in their own capacity become Members of IUCN themselves. This is huge cause for concern.	DEC C/94/GCC/ 2.1 Membership applications (incl. Annex I-II) AITA- Annex II

The ethics of the association itself is what is of importance. Changing the behaviour of their members is a good thing and it is important for IUCN to work with the private sector. It is important to know how the EpE assesses its members prior to accepting them.

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

It was agreed to defer the application pending more information.

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

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

Tajijin (AITA Foundation)

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

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

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

Membership Update

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

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

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

DRAFT COUNCIL DECISION
The IUCN Council, on the recommendation of the Governance and Constituency Committee,
Approves the admission of 11 organizations and/or institutions applying for membership.
Defers the admission of the Association Française des Entreprises pour l'Environnement (France) – EpE, to such time when the Secretariat has undertaken a due diligence process and secured additional information.
Requests the Secretariat to undertake a due diligence process and to seek additional clarification from EpE on the record of its environmental work and its membership criteria.
Rejects the admission of Tajijin (AITA Foundation) on the basis that they have insufficient track record of conservation. The AITA Foundation is invited to reapply in three years when they can provide more evidence of their track record.

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

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

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

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

1. Approves the request from one current IUCN Member to change its membership category as follows:
   a) The Helsinki Zoo Foundation from Affiliate to NGO

2. Takes notes of the change of name of four current Member organisations, as follows:

Country	Previous name	New name
Guatemala	Centro para la Investigación y Planificación del Desarrollo Maya SOTZ`IL	**Asociación SOTZ'IL**
Finland	Helsinki Zoo	**Helsinki Zoo Foundation**
USA	Consultative Group on Biological Diversity	**Biodiversity Funders Group**
Pakistan	National Rural Development Program	**Rural Aid Pakistan**

GCC/ 2.3

Update on the Membership Strategy

INF

Secretariat presented a verbal update on the strategy. A paper is being prepared and will be shared with GCC and Council once it has been drafted and undertook to do so with in 4-8 weeks. There are a number of issues (e.g. what the ideal membership constitution is) that will need to be discussed in order to ensure that the strategy is appropriately formulated.

In discussion

The GCC requested that the paper include information on how GCC and Council will be expected to take part going forward.

The Chair noted that she had asked the Secretariat to prepare a paper for the consideration of the GCC ahead of Council to facilitate discussion in the GCC and Council more generally. The Chair noted there was strong interest in this issue among Councillors.

A suggestion was made that the Strategy not only refer to the "three pillars" of IUCN but include how Councillors may be engaged in this strategy

A further suggestion was made with regards to capacity building. The Chair asked that the secretariat ensure that the needs of the different IUCN constituents be considered when formulating the strategy. These needs can differ greatly between regions and Member category. The Deputy Chair explained that the South American office is working to put together a Governance School and that she would share experiences and information once this was available.

It was also noted that subsequent to the meeting of IPO Members held in March this year, some ideas for an IPO-related strategy had been formulated. The Secretariat confirmed that the matters raised in the paper would be considered in the preparation of the strategy.

Note that the membership engagement strategy is referred to in the IUCN Programme 2017-20 (pp. 47).

GCC/ 2.4.1

Recognition of the National Committee of Belize

DEC

The Belize National Committee has submitted its complete application to Council. GCC recommends its recognition.

C/94/GCC/

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

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

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

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

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

	On the recommendation of its Governance and Constituency Committee, *Adopts the following documents to be annexed to the Council Handbook:* *- the Performance Commitment for IUCN Councillors (Annex 1);* *- the IUCN Councillor Activity Report (Annex 2), and* *- the Self-Assessment of IUCN Council members and Evaluation of the IUCN Council Meeting (Annex 3);* *Adopts the updated version of the Council Handbook (Document C/93/8 dated 17 November 2017, Annex 1) as required by Regulation 48bis;*	
GCC/ 3.1	**3.1 Date and place of the 2020 IUCN World Conservation Congress (DEC)** The Congress Unit made a detailed presentation of all elements involved in the evaluation of the proposal submitted by the Government of France to host the IUCN World Conservation Congress in Marseille. The proposal included a letter of Guarantee from Ministry of Foreign Affairs and a budget pledging CHF 23.7M. The proposal, letters of support and all related documents are available in the Union Portal in the links provided in the adjacent box. **Key strengths of France's submission :** ✓ Adequate financial proposal covering all onsite costs as well as a generous financial support for sponsored delegates and sustainability measures; ✓ An impressive track record and strong commitment to event sustainability; ✓ A convincing proposal for the management of all security aspects; ✓ Strong commitment from all levels of government ✓ Strong support and engagement by the local and national IUCN Members, ✓ Potential to raise the profile of the Congress and IUCN at global level. ✓ Negotiation of the draft Hosting Agreement has been successfully concluded (letter of agreement received); content in line with the proposal and IUCN requirements The Secretariat is comfortable organizing the World Congress in Marseille, France and transmits the strong recommendation by the Government of France to host the Congress in June 2020. The GCC was entrusted by the IUCN Bureau, with the difficult task of evaluating the technical proposal of the government of France. GCC undertook this with passion and enthusiasm and acknowledged the hard work of the evaluation team led by the Director of the Union Development Group, Enrique Lahmann. The Committee considered the Proposal and delved in more detail into the key issues of: 1. The ranking of this Proposal against the two previous WCC. Although the exact requirements cannot be compared to the previous Congress as lessons learnt have been incorporated, the overall score of France is comparable to the score that Hawaii and Istanbul had for the 2016 selection process. 2. Respective financial commitments and the challenges of fund raising: The GCC took note of the substantive financial commitment by France with regards to onsite costs and contribution to sponsored delegates and noted that the Secretariat still had a fundraising target of CHF 6m+ which is comparable to the targets for previous Congresses. 3. Ensured that there is no conflict in environmental events (UNFCCC 9-20 November 2020; CBD COP – October 2020; CMS no dates). 4. Venue: the size of the venue was adequate to host all Congress elements and took note that France has committed to make upgrades to the internet infrastructure and to make improvements to the buildings by the Congress 5. Security and the relative levels of risk. The committee was satisfied that France will make appropriate arrangements for the security of the Congress participants irrespective of the date at which Congress is held.	DEC C/94/GCC 13/3.1 (confi-dential) Appendices 1 (confidential) Appendices 2 (confidential)

	6. The political interest of France and the desire to take leadership on Biodiversity issues. The GCC members noted the likelihood that through the formal negotiation process for CBD that key decisions are likely to have already being made. 7. Accommodation: Sufficient hotel rooms in all categories available (budget to 5*) and have been blocked by Convention bureau. The GCC noted that there are no large hotel available in Marseille which would allow to accommodate all staff/all sponsored delegates in one facility. To date 1600 rooms have been blocked[4]. 8. Visa regulations: France has a special visa procedure in place for major events to enable smooth process (invitation letter, participant list, focal point) and has offered a fast track process for sponsored delegates and visa upon arrival for them, if needed, provided IUCN makes available list to the respective consulates. The GCC noted the challenges faced by developing countries, particularly Africa in obtaining visa to the Schengen zone. GCC discussed the two dates proposed by the Host Country and took note of France's preference for June as well as the pros and cons presented by the Secretariat. The Committee acknowledged that in addition to the interest of the Host Country, it is critical to consider the interests of IUCN and the completion of the Agenda of Council on behalf of the IUCN members. This includes a process underway for the further improvement of IUCN's governance, the development of a Membership Strategy, and the revision of the motions process. Many of these activities require engagement of the membership and need to fit in the schedule of bi-annual meetings of Council making the time difference significant. Considering these factors and the technical report. The GCC recommends that we accept the proposal of France to host the World Conservation Congress. Further the GCC, after careful consideration, recommends the offered dates of 1-9 September 2018 to host the World Conservation Congress. **DRAFT COUNCIL DECISION** The IUCN Council, ~~On the recommendation of its Governance and Constituency Committee,~~ recognizing that a thorough selection process has been carried out and taking into account the proposal, the evaluation report, the draft Host Country Agreement, the recommendations from the candidate country and all other relevant facts, **decides** to accept the offer from the Government of France to host the IUCN Congress 2020 in Marseille between ~~1 to 9 September~~11 and 19 June 2020.	
GCC/ 3.1	**Update on the implementation of the Guidelines for Sponsored Delegates at the 2016 Congress** *This item will be discussed at the next GCC Skype meeting (to be held at the beginning of June).*	
GCC/ 3.2	**Update of the motions process** The Chair of the GCC Task Force (TF) to update the Motions Process, Tamar Pataridze, presented an update of the work undertaken by the TF. The Task Force had analysed the feedback received from IUCN Members and the Congress Resolutions Committee on the 2016 motions process and had begun the discussion of a number of issues to be considered for improving the motions process. The TF expects to finalize a set of proposals for the consideration of the GCC and Council in October 2018. The TF had examined and supported the timeline for the 2019-20 motions process which will start much earlier than in 2016 in order to make optimal use of the Regional Conservation Forums and to allow more time for the different phases of the electronic discussion and vote of motions prior to the 2020 Congress.	INF C/94/GCC/ 3.3 Motions process

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

	The Governance and Constituency Committee noted the progress presented by the GCC's Task Force to update the motions process and thanked them for their work to date.	
GCC/ 1.4	**2020 Congress Preparatory Committee** *The secretariat will circulate the TORS for the Congress Preparatory Committee to the members of GCC and invite comments from the, within a two week period. If required the next GCC Skype meeting (to be held at the beginning of June) will discuss this issue.*	C/94/GCC/ 3.4 CPC
GCC 13/1.5.	**Appointment of an additional Councillor (Article 38, IUCN Statutes)** Following a letter received from all the Members in Category C (IPOs) requesting Council to appoint an IPO member to Council, the IUCN Bureau discussed the issue at its meeting on the 29 April 2018 and requested the GCC to discuss this issue and make a recommendation to Council. The GCC Chair, based on the Statutes, proposed that the GCC takes a two-step process to decision-making and initiated the discussion regarding the appointment of a Councillor in conformity with Article 38 (f) of the IUCN Statutes. 1. Taking into account the requirements of Article 38 (f) consider who to appoint as an additional Councilor based on the skills, qualifications and interest needed in Council. 2. Dependent on whether GCC decides to appoint an IPO, then to consider who should be appointed to this position. In discussing 1, the Chair requested members to bear in mind that the Council has not discussed this issue. Following the discussion within GCC, it was decided that there was a need to appoint a Councillor and that this Councilor should represent the IPO group. The Chair of CEESP was offered the opportunity to share her views on why the IUCN Councilor should appoint an IPO member as the additional Councilor In making this decision, the group decided that no precedent was being set and decided that this must be communicated in writing to the IPOs and to Council. It was noted that the IPO category would, going forward given their recognition as a separate category in IUCN, be able to organise themselves to present a candidate for election at the next Congress. In discussing item 2, the GCC considered the candidate proposed by the IPO Members, Ramiro Batzín Chojoj. The Chair highlight some considerations for the Group: • The candidate is fully supported by the Members of the IPO category. They have chosen their own representative. • However, it would have been preferable to have a selection of CVs for the GCC to select from, as has been the case in ECOSOC, for example. • In addition, the Chair voiced her concern about the fact that the process took place without any reference to the GCC. No guidance was asked for on what they thought should be some criteria that could have been used (skill, gender, representation). The CEESP Chair acknowledged that this was an unfortunate oversight. Members of the committee raised several concerns including that they would have liked to see in principle regional and gender considerations taken into account. Following discussion, the GCC agreed to recommend the appointment of Ramiro Batzín Chojoj as an additional Councillor Based on the discussion and concerns raised in the committee, the Chair requested it be noted that for the next Council (2020- 2024), this should be an issue that is considered early and for which an analytical process is undertaken to find the gaps in Council. The Chair concluded that in the future, she would like to see more direct engagement with the GCC on constituency matters, from the Secretariat, and proposed the GCC recommend a process for the implementation of Article 38 (f).	DEC/DIS

DRAFT COUNCIL DECISION

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

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

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

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

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

PROGRAMME AND POLICY COMMITTEE (PPC)

Meeting of Sunday/Monday 29-30 April 2018

Report to Council

(Approved by the IUCN Council, 94th Meeting, May 2018, decision C/94/22; modifications to the report approved by Council are shown with track changes)

PPC members in attendance: Jan Olov Westerberg (Chair), Amran Hamzah, Angela Andrade, Peter Cochrane, Jonathan Hughes, John Robinson, Sean Southey, Ana Tiraa, Kristen Walker
Deputy Commission Chairs in attendance: Denise Antolini (WCEL), Ameyali Ramos (CEESP), Katalin Czippán (CEC)

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

Opening of the meeting, Sunday 29 April, 2018

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

PPC/1	**IUCN Annual Report 2017 (Incl. implementation of the IUCN Programme by the Secretariat and the Commissions)** *Purpose of the agenda item* The PPC reviewed the 2017 IUCN Annual Progress Report **(***Incl. implementation of the IUCN Programme by the Secretariat and the Commissions)* *Brief summary of the discussion* Nick Bertrand, Acting Head, Programme Monitoring & Evaluation made a presentation in which he highlighted the continued development of the Programme & Project Portal and key achievements, success stories and progress in implementing the Programme using a system of "traffic lights", among other improvements and new features. He also announced the appointment of Charles Lor as the new Head of the Programme Monitoring, Evaluation and Risk Management Unit who will come on board as of 1 May 2018. The Chair opened the floor and then welcomed comments section by section.	INF

	Several PPC members welcomed the progress made as shown in the report and commended the Secretariat for this work, the move from the simple story telling approach to showing impact, including the traffic light visual model, and recommended assessment of the reporting framework as it moves forward by the actual users to get the right balance between reporting and the "burden and bureaucracy" that might come with the exercise. PPC briefly discussed whether it was reason of concern that the level of indirect costs remained constant but increased as a % in 2017 as a result of a decline in overall expenditure. Even though this is an issue for the CFO to address, Secretariat staff present mentioned that this is actually work in progress. A PPC member suggested that more detail and attention should be given to the issue of work with Members and the nature of this interaction which often entails competition for funding and also complementarities beyond project implementation. This is particularly important in the context of the GEF and GCF. She wondered if IUCN has a strategy in this regard and also highlighted the costs to the institution for this move into wholesale and big initiatives (GEF/GCF) could be very high and should be considered given the limited funding environment with declining framework donor income. In the same vein, a suggestion was made to better characterize the different delivery models and the requests that IUCN is getting from donors or State members especially as regards the category of initiatives labelled as 'non-aligned stand-alone projects'. Another suggestion was made to look at the correlation and interplay between the project portfolio as reported against its Programme targets, the Aichi Targets and the SDGs in order to capture the overall picture. The suggestion was made that if this report is available to Members and others outside IUCN then some commentary on issues that, without commentary, might cause concern – such as the figures on gender balance, and the level of indirect costs - would be prudent, e.g. whether and how the issue is being addressed. In closing, the PPC Chair invited all to reflect on the way we all communicate about IUCN's work as One Union (One Programme Charter), and address progress reports in the future - as well as the next Programme's planning - with this vision in mind. *Conclusion* The Programme and Policy Committee, ***takes note*** of the IUCN Annual Progress Report 2017 and welcomes progress made.	
PPC/2	**Specific Programme and Policy issues**	
PPC/2.1	**Update on the implementation of the 2016 Congress Resolutions and Recommendations** *Purpose of the item* The PPC is invited to take note of the Report on the progress in the	INF

	implementation of Resolutions and Recommendations and consider putting in place any necessary actions in order to further enhance the implementation of those Resolutions and Recommendations. *Presentation* Max Mueller presented the 1st progress report on the implementation of the 2016 WCC Resolutions and Recommendations. He highlighted some of the challenges impeding the implementation of Resolutions and Recommendations, especially the funding challenges. He also outlined possible solutions that could be envisaged, including upfront at the time of submission of motions. *Discussion* There was some concern about the funding for implementing Resolutions including those which were Council-sponsored motions, (e.g. Resolution 6.058 on Natural Capital). The discussion centred on: i) how to increase members' participation in the implementation and reporting of Resolutions: one commission Chair suggested involving the National and Regional Committees and establishing links between the themes of the Resolutions; ii) opportunities for Council to address the lack of political will: aware that there might be some sensitive issues, it would be appropriate to identify those Resolutions for which there are no efforts being undertaken and have the DG or the President address a letter on behalf of the Council to the political focal point; and, iii) how to secure funding for implementation: it was noted that the IUCN membership needed to be better informed about the purpose of Resolutions and that changes need to be introduced in the motions process that would allow to clearly distinguish motions related to policy from motions related to projects. Changes in the motions process should seek to bring forward the financial implications of effectively implementing the Resolutions. For the time being, a member of the Committee suggested reaching out to Members that are already involved or that are interested in the implementation of some of the Resolutions, to help provide some funding. It was also suggested for future Resolutions that information regarding sponsors, a timeline, and budget be readily available in the Resolutions and Recommendations Platform. *Conclusion* The Programme and Policy Committee ***takes note*** of the Report on the progress in the implementation of Resolutions and Recommendations adopted at the World Conservation Congress in Hawaii, 2016.	
PPC/2.2	**Update on the post-2020 global biodiversity framework** Jane Smart, Global Director, Biodiversity Conservation Group, made	INF

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

	bring non-governmental views to the IPBES. One IUCN staff member seconded by the Government of France is shared on a part time basis with the IPBES Secretariat to work especially on furthering stakeholder engagement in IPBES processes. IUCN is also actively involved in contributing to assessments developed by IPBES. In 2018 five such assessments were approved (4 regional and one on land degradation and restoration). A number of IUCN staff members were involved as authors in each regional assessment and 20% of involved experts are IUCN Commission Members. The next assessments to be developed will be a global assessment, and thematic assessments on values and valuation, sustainable use and invasive alien species. Discussion In the discussion that followed, PPC Members questioned how the synergies between the work on the assessment on values and valuation and IUCN's Resolution 062 on Natural Capital could be leveraged. In this context it was also highlighted that a thematic group in CEESP on values and valuation might be established, which could contribute to this work.	
PPC/2.4	**Update on IUCN's Policy on Gender Equality** *Purpose of the item* PPC was provided with an update by the Secretariat on IUCN's Policy on Gender Equality. *Presentation* Stewart Maginnis, Global Director, Nature Based Solutions Group, provided a brief update on the gender policy, which is currently being developed in consultation with IUCN Gender Focal Points. It will be based on the existing revised gender policy approved by Council in 2007 (original version is from 1998). He highlighted that the work was well underway and stressed that the policy is focusing on the programmatic side of gender work and is not an HR policy. *Discussion* During the discussion, the PPC inquired whether the document will be tabled at its next meeting. The Secretariat assured that it should be available then and mentioned that it is not being rushed in order to ensure whatever is finalized is actually implementable.	INF
PPC/3	**Follow up on assignments** The discussion on this item centred on providing updates on assignments considered by PPC at its last meeting (Council #93) especially in regard of the 2016 WCC Resolutions which make reference to Council. a. Biodiversity & Human Health (DEC C/92/8 annex 7 PPC report p.5) Peter Cochrane updated PPC on key developments in this area that	INF

	can be summarized as follows: • CBD SBSTTA21 had issued a paper on biodiversity and health and discussion was held on this issue. For CBD COP14 biodiversity and health will be again on the agenda and there are moves to invite Health Ministers to attend • World Health Organisation will hold its World Health Assembly (May 2018) – first ever agenda paper on Biodiversity and Health, includes reference to nature-based solutions; IUCN DG is seeking to have IUCN representation and participation for this item • IUCN Commissions have actively worked or are working on this issue. Examples provided include the SSC Wildlife Health Specialist Group - active with OneHealth and EcoHealth initiatives (a key element in the CDB SBSTTA paper) and the new WCPA Health and Wellbeing Specialist Group Peter also mentioned that both the WCC 2020 and the planning for the IUCN Work Programme 2021-2024 provide good opportunities to connect to this issue. The Chair of CEM informed PPC that CEM has started to develop a Task Force on this topic; The Chair of CEESP has also been discussing incorporating health dimensions in its work; The CEC Chair added that health is also one of the axes of Nature for All initiative; Jane Smart mentioned that SSC has also a Medicinal Plants Specialist Group that is working with WHO. The Chair of CEESP suggested carrying out sampling of IUCN Members' work on biodiversity and human health to have a full picture of the work we're doing on this issue. The Chair cautioned all about flooding Members with too many requests. b. WCC-2016-Res-018 Jane Smart provided an update on Resolution 018 (IUCN Environmental Impact Classification for Alien Taxa) and recalled progress made. She mentioned the consultations that have been carried out in follow-up to the Resolution. Currently, the team is addressing responses received. c. WCC-2016-Res- 030 and 075 Kristen Walker provided an update on Resolutions related to indigenous peoples' issues. Regarding Resolutions 030 and 075 she underscored the important work done and mentioned that as result of consultations carried out with indigenous peoples, a proposition will be brought forward to the full Council for a representative/ formal position to be established in Council. With regards to Resolution 080, she mentioned ongoing collaboration with ORMACC. Finally, regarding Resolution 060 (Primary Forests) she mentioned engagement of CEESP and indigenous peoples' representatives. d. WCC-2016-Res-045 Stewart Maginnis complemented the information provided on Resolution 060 indicating that they are currently building the membership	

	of a Task Force with the idea of having a face to face meeting at the end of the year. He also mentioned that primary forests are actually one of the 3 business lines of the Forest Programme. The Chair of CEM recommended reaching out to CEM for this work. e. WCC-2016-Res-086 Cyrie Sendashonga made an update on progress made in implementing Resolution 6.086 on synthetic biology. She mentioned the establishment of the Secretariat and experts Task Force and Technical Sub-group that will be in charge of carrying out the assessment which will inform the development of the policy. She informed the PPC that the Task Force had its first meeting two weeks ago in Cambridge, UK, and that all of the 3 main objectives for the meeting were fulfilled (getting the TF members to know each other, develop a draft outline for the assessment and the assignment of responsibilities). The next meeting of the technical sub-group will take place in July in Brazil to develop the first draft of the assessment. Cyrie further outlined the process for Council to engage in the implementation of the Resolution and mentioned that the DG is expected to present to PPC/Council a draft policy on synthetic biology based on the recommendations of the assessment referred to in operative paragraphs 1 and 2 of the Resolution. She concluded by saying that it is likely that PPC will receive the draft policy at the beginning of 2019 to take it forward as appropriate. f. WCC-2016-Res-001 In addition to above updates, Max Mueller briefly updated PPC on progress in implementing Resolution 001 on retirement of Resolutions. He mentioned that the initial assessment with a preliminary classification will be presented at the 95th meeting of Council for a decision to be taken at the 96th Council. g. DEC C/92/8 annex 7 PPC report p.7 – Council focal persons The Chair of PPC updated the Committee about the discussions held by the Bureau regarding adopting some generic wording to appoint focal points of Council. They looked at TORs of the Oceans Focal Point for guidance. It is expected that a formal decision be taken by this Council.	
PPC/4	**Reports from Task Forces established by the PPC**	
PPC/4.1	**Climate Change task Force** *Presentation:* Angela Andrade, Chair of the Climate Change Task Force (CCTF) presented a brief update of the work of the Task Force since its establishment. The Task Force has met four times both virtually and personally to discuss a number of items including IUCN's engagement in climate-related arenas and activities under the CCTF. The Chair of the CCTF highlighted the 10th anniversary of the Ecosystem-based Approaches (EbA) and the relevance of IPBES' assessments and other information that could improve IUCN's key messag-	INF

	es on climate change and help in bridging biodiversity and climate change. Further the CCTF welcomed the mapping carried out by the Secretariat of IUCN's work on climate change (covering Secretariat and Commissions) and encouraged its continuation. *Discussion:* After the presentation, it was suggested that it would be useful to have a theory of change added to the mapping and the Chair of CCTF signalled that the mapping of IUCN's work on climate change would extend to Members in the future, including the adoption of impact indicators of IUCN's overall work on climate change.	
PPC/4.2	**Private Sector task Force** Presentation: Jonathan Hughes, Chair of the Private Sector Task Force (PSTF), presented a summary of the PSTF meeting held on Sunday 29 April. He announced that Sean Southey has been formally added to the PSTF. One of the main discussion points was how PSTF could work more strategically with the Secretariat to explore opportunities of engagement at sector level, such as, but not only, the finance and insurance sector. Questions were also asked on Lacoste sponsorship and the need to clarify when Secretariat should inform PSTF of upcoming engagements to PSTF in the future. Discussion Members of the PPC supported the idea of IUCN taking on a more proactive stance with business and echoed the interest in providing more guidance and assistance to China for their Belt and Road Initiative which is one of the most ambitious infrastructure initiatives at this time. It was also mentioned that the post-2020 process should be used to make some bold statements on biodiversity and come with recommendations of how the private sector should be engaged. A member of PPC asked if IUCN could have a role in looking at the Corporate Social Responsibility (CSR) capabilities of various companies and provide some sort of certification of this.	INF
PPC/4.3	**Urban Task Force** *Presentation* The Chair of the Urban Task Force (UTF) highlighted that in principle seed funding for the work on the Urban Alliance has been secured for three years still confidential)This would fund the initial development of the IUCN Urban Alliance and contribute to achieving three outcomes: - Global platform for discussion of urban - nature issues - Catalyse action on through sharing best practice - Development of a knowledge product (A dashboard of indica-	INF

	tors. Current working title: cities and nature index) The Chair UTF highlighted that this constitutes a good example of the one Programme approach, with Commissions, Secretariat working together with a Member.. He stressed that a number of IUCN Members and IUCN Commissions groups are already actively working on cities related matters and highlighted a number of those initiatives. Therefore it is crucial that the Urban Alliance will play to IUCN's niche, and focus on key thematic areas where added value and focus is critical. The link between human health and healthy urban ecosystems was mentioned in this context. Regarding the potential policy function, the Urban Alliance would be feeding into international processes like the post-2020 process and the SDGs follow-up mechanism given the relevance for SDG 11 (Sustainable Human Settlements and Cities). The Chair UTF concluded by bringing the <u>decisions</u> of the task force to the attention of PPC: - The invitees for Urban Alliance strategic board where proposed and agreed (to be kept under 10, so as to be effective) - Agreed to hold the first meeting in autumn 2018 to (possibly) coincide with CBD COP14 - Called to ensure an Urban/Sustainable Cities pavilion at the next WCC *<u>Discussion</u>* The discussion focused on the possible connection between this work and the work on IUCN Resolution WCC 2016 Res 003 on *Including regional governments in the structure of the Union* and the potential sensitivities this might raise with specific IUCN Members that have a similar focus. It was stated that there is a certain discomfort in the respective concerned IUCN Member and that this needs to be handled accordingly. In this regard, the synergies would have to be captured and full participation by this Member should be ensured, possibly by including a representative of this Member in the Urban Alliance Strategic Board. Lastly it was discussed to frame the work of the Urban Alliance around the wording of SDG11.	
PPC/5	**Council's Global Oceans Focal Person** *<u>Purpose of the agenda item</u>* The PPC was invited to consider the draft terms of reference (ToRs) for the IUCN Council Global Oceans Focal Person, to provide feedback and comments on the draft ToRs and subject to any amendments, to adopt them. *<u>Brief summary of the discussion</u>*	DEC

	Peter Cochrane, appointed by IUCN Council as the IUCN Council Global Oceans Focal Person following IUCN regulation "45bis", presented the draft ToRs and briefly introduced why Oceans conservation is so central to IUCN mission and why this focal person with clear ToRs is so needed. The main arguments were that this role is needed to ensure strong focus, coherent body of work on ocean issues within IUCN and to raise the profile and understanding of the oceans issues in Council and to external stakeholders. The draft ToRs have been very well received by PPC members and only few comments were raised by PPC members such as the suggestion to give special attention to global policy frameworks (i.a. Aichi Targets and the SDGs) in the draft ToRs and to recognize in the ToRs that Oceans issues are cross-cutting to the different parts of IUCN (Secretariat, Commissions, Members). PPC then heard a presentation from Carl Gustaf Lundin, Director of the Global Marine and Polar Programme (GMPP) who highlighted the current portfolio of work of the IUCN GMPP and provided an overview of the main current major conservation issues and challenges for Oceans (such as ocean acidification, ocean deoxygenation, marine plastics, trends of carbon sequestration in Oceans, etc.). During the discussion, it was pointed out also that there is a lot of potential for increased ARO-ORO regional collaboration on fisheries/fishing issues and on Marine plastics among other focal areas such as disasters risk reduction and the dependence on oceans. PPC members underscored that there is huge potential to develop more synergies at the Union level. It was also suggested that the Oceans Focal Person should invite collaboration with other Councillors who have an interest in oceans issues. Peter Cochrane indicated that he would propose a 'friends of the oceans focal point' network to enable interested Councillors to be more closely involved, but also that he did not want to duplicate existing networks. *Conclusion* The PPC decided to adopt the draft terms of reference for the IUCN Council Global Oceans Focal Person. The Programme and Policy Committee, ***approves*** the terms of reference for the IUCN Council Global Oceans Focal Person.	
PPC/6	**Other issues announced in advance**	
PPC/6.1.	**Discussion of a roadmap for the development of the IUCN Programme 2021-24** The Director General, Inger Andersen, joined PPC and introduced the topic, mentioning some of the brainstorming that has been initiated at the Secretariat level and with Commission Chairs. She highlighted these are very preliminary conversations to animate everyone to think creatively.	INF

	She highlighted also that there are certain realities in our Union that won't shift, e.g. work on core conservation issues, governance and rights or nature based solutions work. But she invited PPC to think about what we want to have achieved by 2024 and have future discussions also on drivers of loss and drivers of solutions, inter alia, issues such as: climate change, urbanization, food production, conflicts, health, oceans degradation, etc. She also highlighted three inroads that can provide additional context in developing the next quadrennial IUCN Programme, namely: the IUCN Resolutions, the Monitoring and Evaluation learning framework and possibly the Congress Forum discussions. The DG sought Councillors' views on Members' engagement, and signalled that it might be more appropriate to have Members early in the process comment on a basic construct than to co-draft and respond to a 50+ pages long document. In any case, as was done in the past, it is anticipated that the early draft of the Programme will be discussed in the Regional Conservation Fora. Furthermore, depending on the recommendation that the GCC Task Force on the Motions Process, the timeline of the development of the draft Programme could also be adjusted to fit the needs of the motions' submission process. <u>Presentation</u> Cyrie Sendashonga presented an overview of the process taken to develop and consult the 2017-2020 IUCN Programme in 2015/2016 and illustrated a timeline that could be considered for the development of the 2021-2024 Programme based on past experiences and once some of the determining factors will be known (e.g. date of the 2020 WCC and timeline of the motion process relative to how Members may wish to input in the development of the next Programme). She gave examples of some steps that could be adjusted such as: 1) Situation Analysis (necessity, timing, scope); 2) Enhancing engagement of Members in design, implementation and reporting and, 3) Timing of the external review and reflection of its findings in developing the next Programme. *<u>Discussion:</u>* From the discussions, the idea of a "basic construct" and consulting Members at an early stage was strongly supported and it was agreed that this could enhance Members' engagement and sense of ownership. Some of the mechanics to execute this idea include sending out a "construct" with top targets and develop the Programme from there, and maybe work through National and Regional Committees where such are established. It was also noted that the Programme needs to play to the IUCN niche and core strengths: (i) convening power (ii) Scientific credibility, knowledge creation and policy influencer and (iii) catalyst for projects and thought leading role. A Councillor indicated that the PPC could also play a part in the development of the Programme and provide strategic inputs both to the process and the substance. Regarding the situation analysis it was mentioned that it might not be necessary to develop a new one but that attention could instead be	

	given to existing assessments from other international bodies, including IPBES assessments, the UN High Level Political Forum synthesis documents on the progress in implementation of the different SDGs, and various other reports and think pieces such as those produced by the World Economic Forum. The discussion also touched upon potential building blocks of the Programme and their alignment with the SDGs by developing a coherent narrative. In summary, the PPC: - Endorses the idea of a 'basic construct' model, noting that at this stage there is no clear understanding what the construct might look like - Considers as important early communication about roadmap and Member engagement in the different phases of the process - Stresses, the need to build early consultation with IUCN Members on the construct/building blocks - Notes that the timeline is doable independent of dates of the next WCC. <u>*Conclusion:*</u> In the next steps, the Secretariat and Commission Chairs will work jointly to present a construct for discussion to PPC at the 95th Council meeting. After that, there can be agreement on steps forward on how to consult Members, taking into account also the timeline for the 2020 Motions Before moving into AOB, the Chair read out a message sent by Councillor Carlos Durigan with *Recommendations expressed by Members from South America for the process of setting up the IUCN Programme 2021-2024*. The communication was circulated to the PPC members. The PPC acknowledged receipt of the message and thanked Carlos for transmitting it.	
PPC/6.2	**Any other business** Two issues were added by WCEL. 1. Global Institute of Prosecutors for the Environment 2. Brasilia Declaration of Judges on Water Justice <u>*Brief summary of the discussion*</u> Antonio Benjamin, Chair of WCEL, presented the two proposals to the PPC members, provided background on both the Global Institute of Prosecutors for the Environment and on the Brasilia Declaration of Judges on Water Justice. Only a few questions were raised by PPC members and the two proposals received support from PPC members. <u>*Conclusion*</u> The PPC endorsed the two proposals made by the WCEL.	DEC

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

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

FINANCE and AUDIT COMMITTEE (FAC)

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

Report to Council

FAC/1	**Approval of the agenda** The FAC approved the agenda as presented with minor changes on the order of items.	INF
FAC/2	**Review of minutes of previous meeting** The FAC took note that most items on the action list were included in the current FAC agenda. The items which remain in progress relate to: • Investment policy review and update to be presented at the next FAC now that the new Treasurer is in place • The Commission Support Unit which came into operation in January 2018 will work with Commission Chairs and the Global IS Group to progress on development of a new Commission Management Support system • The HR Staff Rules will be presented to FAC for approval at a later meeting	INF
FAC/3	**Report from the Head of Oversight** *Purpose and background* The Head of Oversight (HoO) presented her report. She first provided an overview of the Oversight Unit architecture, summarising the services provided and how it fitted into the governance, risk management and internal control framework. She then provided an update on the activities of the Oversight Unit, including information on investigations statistics and cases, IUCN's fraud prevention programme and the status of internal audit recommendations. She drew the attention of the FAC to an investigation which was currently on-going in one of IUCN's regional offices which involved misreporting and non-compliance with the IUCN Time Management Policy. *Summary of the discussion* The FAC discussed the current ongoing investigation and raised the following points: Members noted that the investigation was on-going and that	INF

	it was not possible to draw conclusions at this stage. They, however, emphasised that it is important to understand the root causes of the case and to assess whether similar situations could be occurring in other offices, and hence asked the Head of Oversight to assess the accounting system or software used as well as the internal control system in place and also urged the Secretariat to take proactive action to reduce the risk of similar incidents from occurring across the Union. The DG informed the FAC that the Secretariat was in the process of implementing a time management system (expected to be "live" in all locations by the end of 2018) and that this would reduce the risk of non-compliance with the time management policy. The Chair of the FAC emphasised the importance of disseminating the Anti-Fraud Policy and building awareness to all IUCN Staff. The HoO replied that the Secretariat was building a fraud prevention programme, including an e-learning fraud prevention awareness training course that had been piloted with the Leadership Team in February 2018 and it would be rolled out to all staff members during the course of 2018. The Treasurer noted the wide scope of work of the Oversight Unit and asked how it was resourced and whether donor expectations were being met. The HoO responded that donors have expectations that IUCN meets standards of good risk management and has solid fraud prevention mechanisms in place and that the Oversight Unit is supporting management in its efforts to continue to develop these systems. In terms of resources, she replied that this was challenging given IUCN's complex operating environment and internal oversight coverage which includes the Ramsar Convention. One approach to begin to address the workload demand is to establish a roster of consultants who could be called upon to carry out investigations on short notice and for other assurance engagements. This would require a consultancy budget. In addition, rolling out management's control self-assessment approach to the regional level would also provide a broad entity-level of assurance to be relied upon. *<u>Conclusion</u>* The FAC *TOOK NOTE* of the report and the action that was being taken to improve IUCN's anti-fraud programme. The FAC asked the HoO to assess the root causes of the case	

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

	the organisation. It was noted that several aspects of the policy will need closer attention and that during implementation some items may need further clarity. In respect of the risk the Risk Appetite Statement, the FAC was comfortable with the level of risks that IUCN was prepared to take. In respect of "moderate to high" for accepting difficult projects aligned with strengths and strategic priorities, members questioned whether there should be a limit in terms of numbers of how many high-risk projects the Union would be ready to undertake with a mechanism to be developed to accept high risk projects. The Secretariat assured the FAC that high risk projects would only be undertaken after a rigorous risk assessment process and it was not the intention to develop a portfolio of high risk projects but that it should be possible to take on such projects if they were aligned with IUCN's strategic priorities and strengths. The Secretariat also confirmed that there will be regular reporting to both the FAC and to the Council and that any material items arising in the course of implementing this policy will be adequately reported. FAC members agreed to recommend approval of the ERM policy and the Risk Appetite statement and that the policy will be subject to review as risks evolve and as circumstance changes. *Conclusion* The FAC recommends Council approves the Risk Management Policy, and the Risk Appetite Statement, as presented. DRAFT COUNCIL DECISION Council, o*n the recommendation of* the Finance and Audit Committee, approves: 1. the Enterprise Risk Management Policy; and 2. the Risk Appetite Statement;	
FAC/5	**Report of the Legal Adviser** *Purpose and background* The Legal Advisor presented an overview of the existing	INF

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

	Eligible trips would be limited to: 1. Attendance at national and regional committee meetings 2. Trips to deliver specific mutually agreed targets agreed between the Regional Councillor and the Regional Director (e.g. membership of new states, state agencies or other revenue generation) The FAC discussed the level of budget that would be required. The Secretariat noted that the Director General would include a budget line in the 2019 budget and that this would be based on an assessment of costs. *Conclusion* The FAC recommends to Council to approve the provision of a budget for the travel of IUCN regional councillors. **DRAFT COUNCIL DECISION** Council, o*n the recommendation of* the Finance and Audit Committee, **approves** the provision of a budget for Councillors' travel, noting: 1. the Management of this will involve the Regional Councillor and Regional Director agreeing by consensus on the trips to be undertaken, with approval by the Head of the Governance Unit. 2. eligibility would be limited to: a) Attendance at national and regional committee meetings, and b) Trips to deliver specific mutually agreed targets agreed between the Regional Councillor and the Regional Director; 3. the budget line would be used to supplement other funding opportunities; and requests the Director General to include provision in IUCN Budget starting form 2019.	
FAC/7	**Financial results 2017** *Purpose and background* In accordance with the statutes (46.g), Council (or Bureau acting on behalf of Council) is required to approve the audited financial statements, though final approval rests with Congress (20.d) The overall result for the year is a surplus of CHF 1.1m before transfers to designated reserves. After transfer to designated reserves, the result was a small deficit of CHF	DEC

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

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

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

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

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

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

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

Summary of the discussion

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

Purpose and background

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

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

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

Summary of the discussion

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

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

Conclusion

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

DRAFT COUNCIL DECISION

Council, o*n the recommendation of* the Finance and Audit

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

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

	contribute 78% of the dues amount, government agencies at 128 Members and 10% of income and national NGO with 921 Members and 8% of income. At the 2016 Congress, Congress approved the reassessment of dues for NGO Members. This process will require NGO members to provide updated financial data and is planned to be carried out in 2018-2019. The update on Members whose rights were rescinded by the 2016 Congress showed that out of the 161 rescinded Members, the majority have withdrawn post Congress. With the Council decision C/93/13 to hold electronic vote to rescind Members' rights biennially starting 2018, potentially 135 Members may be rescinded at the end of 2018. *Summary of the discussion* Acknowledging that membership dues is primarily a remit of the GCC and that FAC should be concerned with the budgetary consequence, FAC took note that; 1. The sliding scales of membership dues may lead to unfavourable incentives to some Members who may opt to join at lower categories than their actual standing. For example; a) States may opt to be Government Agency Members as opposed to State Members to reduce their dues. b) Some Members may opt to be affiliate Members and pay a flat rate rather than be an NGO member where they may be required to pay a higher level of dues. 2. Using operational expenditure of member organizations to determine membership fees has inherent problems revolving around how different organizations define operational expenditure. FAC will coordinate with GCC in preparation of the proposed membership strategy and possible changes to the membership dues structure. It was noted that the Secretariat will prepare the TORs for consideration by the joint working group of GCC and FAC to review the dues for 2021-2024. *Conclusion* The FAC *TOOK NOTE* of the report.	
FAC/12	**General Data Protection Regulation** *Purpose and background*	INF

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

	• Upgrade from 2009 version to 2017 version planned for 2018 and 2019 • Host to Host banking solution implemented in 2 locations and to be expanded to 9 more locations in 2018 • Version 1 of Programme and Project portal to be released in 2018 • Time management system to go live in 2018 b) Union Applications: • Development of a centralized Commission management system in 2018; • Improvements of CRM and HRMS to better serve commission members and staff respectively; • Define an Open Source alternative to ESRI for low cost requirements. c) Technology & Service Delivery Update • Maintain all offices using the Global wide Area Network (GWAN) to stay up-to-date (security and compliance) and develop a solution for small locations, pilot in 2018, implementation in 2019 • Prepare for upgrade to Windows 10 and Office 365, pilot and first deployment; • Upgrade email system (enable Calendar & Meeting management, better email Management rules); The Global Information Systems Group (GISG) will be working to ensure that systems are compliant with GDPR *Summary of the discussion* The Director of GISG, in response to a question from the Treasurer, noted that the major concern remains external intrusion to IUCN's systems. Intrusion attempts range at about 400 per day, up from 50 per week three years ago. This requires time and resources to monitor. In response to the question regarding the worst possible scenario for cybersecurity breach, it would be to steal HR or CRM data. *Conclusion* The FAC *TOOK NOTE* of the report.	
FAC/14	**HR policy framework** *Purpose and background* The Chief Human Resources Officer (CHRO) presented the proposed area of improvements to the Staff Rules, noting that the Staff Rules approved by Council in 2003 was the overarching policy. He informed the FAC that a revised version was under consultations with staff and that this could be presented to the FAC prior to the next Council meeting in	INF

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

	opportunities available for resource mobilization in future years. Examples floated included; a) Fees on knowledge products b) Targeting multilateral banks c) Consider IUCN being an implementing partner for Governments d) Tap into funds available for cities and urban areas Biodiversity programs e) Consider opportunities availed by the private sector engagement in the conservation arena f) Consider partnering with CBD as an implementing partner *Conclusion* The FAC *TOOK NOTE* of the report and encouraged the Secretariat to draft proposals for discussions by FAC and PPC.	

Appendix: Policy and Procedure on Forward Contracts for Hedging

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

1. Purpose

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

2. Applicability

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

3. Background and Guiding Principles

1 IUCN will only use Forward Foreign Currency Contracts to hedge currency risk. It will not use Forward Contracts for a speculative trading purpose.

2 IUCN receives some funds in Foreign Currencies, other than the main spending currencies Swiss Francs, Euros and USD, for example in Swedish or Norwegian Kronor. For significant contract values IUCN purchase a forward contract to hedge the currency into a "spending" currency. In doing so, IUCN can reduce the risk of currency fluctuation, between the time of signing the contract and receiving the funds.

4. Policy

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

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

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

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

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

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

The thresholds set in article 100 of the FMIA.

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

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