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**SDC and IUCN**

**Joint review of the IUCN Global Biodiversity  
Programme, Phase III**

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## **Acknowledgements**

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## Abbreviations

A/BS	Access and Benefit-Sharing
AIS	Alien and invasive species
BMZ	German Federal Agency for Economic Cooperation and Development
BPCD	IUCN Biodiversity Policy Coordination Division
BPM	Biodiversity Planning Meeting
BRAO	Bureau Régional pour l’Afrique de l’Ouest
BMZ	German Federal Agency for Economic Cooperation and Development
CBD	Convention on Biological Diversity
CCD	Convention to Combat Desertification
CDM	Clean Development Mechanism
CEC	Commission on Education and Communication
CEESP	Commission on Environmental, Economic and Social Policy
CEM	Commission on Ecosystem Management
CEPA	Communications, Education, and Public Awareness
CHF	Swiss francs
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora

## Summary

Phase III of IUCN's Global Biodiversity Programme has built on the important achievements of the two previous phases. Its work is judged to have been largely relevant to biodiversity concerns as IUCN and its partners perceive them. Project design and redesign, coupled with poor monitoring and reporting, have made it hard to assess performance against objectives. But we conclude that Phase III as a whole has been effective in contributing to the overall intentions of IUCN with regard to biodiversity. The policy utility of the programme's work has been high. Conceptual, methodological and capacity advances have been achieved in a range of areas, notably biodiversity assessment, the ecosystem approach, and invasive alien species.

There is a dichotomy between the appropriately programmatic policy work driven from headquarters by the former Biodiversity Policy Coordination Division, and the rather fragmented work in a wide range of fields (often with important policy dimensions) undertaken on a project basis by various programme partners through a series of budget allocations. Whereas the BPCD had a fairly good strategic vision of what it was trying to achieve at the programmatic level in its CBD and other policy work, it was often difficult to see the wood for the trees when it came to the project-based part of the effort. This part of the programme lacked focus and direction. It was laudably participatory in its planning, but its communications, monitoring and reporting were all smothered by the heavy bureaucratic burden on the BPCD.

It might be more accurate to identify three parts to this programme, not two. There was also a strategic vision of a different kind at work, led from within the BPCD by the Chief Scientist as he continued his long tradition of pioneering new issues and approaches. Important achievements continued as the BPCD worked with various partners to develop these new ideas, such as the relations between agriculture and biodiversity. Sometimes these fresh themes were explored through the Global Biodiversity Forum and introduced to the CBD. But this kind of strategic vision and leadership did not extend to managerial leadership for the GBP as a whole. Although we do not doubt that senior BPCD personnel had a clear view of the evolving issues and priorities, this did not translate into effective focus and direction for the programme.

Phase III of the GBP has made important progress in promoting partnerships between IUCN regional offices, Commissions and global programmes. There is much more potential to be unlocked by continuing to build such partnerships, although the logistics and cost of doing so can sometimes be daunting. Partnerships between RCOs are particularly valuable, as a way of countering the perceived northern bias of the IUCN Secretariat and of reinforcing IUCN's ability to act closer to some of the areas of greatest concern for biodiversity conservation and sustainable development.

The GBP has also recorded progress in promoting the vertical integration of the Union. Again, there is much more to be done, particularly in linking to work at national and local levels – exploiting, where they exist, the resources and commitment of IUCN country offices.

The experience of the GBP shows that, as a decentralised Union, IUCN should continue to seek to balance empowerment, delegation and direction. Although top-down approaches are seen to be politically incorrect, IUCN – like any decentralised organisation – needs an effective balance between the top-down and the bottom-up.

This programme has contributed to substantial improvements to the way in which IUCN makes its own policy, in biodiversity and other fields. These achievements should be continued and developed, as part of an evolving strategy for IUCN's interactions with the increasing number of multilateral environmental agreements that are pertinent to its vision.

One of the most prominent achievements of the GBP has been IUCN's role and reputation in the CBD. IUCN recognises that the framework of relevant MEAs is changing, and that work with some other agreements may be at least as productive as that with the CBD. It should continue its support for the

work of the CBD, taking care that its investment is focused and strategic. In particular, it should maintain and enhance the advocacy and advisory services that it offers to governments in this regard.

IUCN could enhance the effectiveness of its advocacy work by evolving its relationships with other lobbying organisations, such as the World Wide Fund for Nature, Greenpeace and BirdLife. However, such relationships must always allow for the particular character of IUCN's membership and constituencies, and will to some extent remain vulnerable to the changing capacities and priorities of these other organisations. Though not without risks, developing joint advocacy strategies and work plans with a range of such organisations could provide benefits to all involved, and help achieve IUCN's advocacy objectives.

The GBF has been widely praised. Although GBP funding for IUCN secretariat services to the GBF will now come to an end, IUCN should maintain and develop its support for this important consultative mechanism. But it should not allow the GBF to become stale, or its administrative burden to become overwhelming, by attempting to support more than three GBFs each year.

Our respondents answered with caution when we asked how much of a management model the GBF was for the rest of IUCN to follow. Most have been inspired by the participatory partnership principles of its approach, and would agree that these deserve to be followed more broadly in the Union. They have been warned by some of the practicalities of the approach, and will doubtless be trying to learn from these in their own programming. Despite the value of the partnerships and integration that Phase III of the GBP promoted, it is clear that the GBP's approach to the management of multiple comparatively small projects should not be replicated.

If new circumstances arise in which programme funding is available for distribution to multiple component activities and partners, a more strategic and programmatic approach should be adopted that acknowledges the process nature of the work IUCN does. Ways must be found to fund process rather than narrowly defined activities, and to reconcile the imperatives of clear planning, monitoring and accounting with those of programmatic uncertainty and flexibility. The key to this is to identify a smaller set of priorities, and to focus on them consistently.

Whatever the specific field of endeavour, IUCN likes to see itself as a learning organisation, with a particular emphasis on knowledge management. This implies that it should apply a learning approach to major, innovative programmes like the GBF that are trying to explore new paradigms and develop new skills and insights for the organisation and its partners. This requires the kind of managerial leadership, programme design, monitoring awareness and programmatic direction that were lacking in Phase III of the GBP. Ongoing analysis and communication of programme experience is vital in such a learning approach.

If anything, the last area of emphasis that we have identified is harder still to achieve. It concerns the practice part of the policy-science-practice linkage that IUCN tries to achieve and that the GBF, with some success, aimed to promote. Despite the importance of the CBD and the undoubted achievements of the GBF in that arena, we sensed an increasing concern, among our survey respondents and beyond, that implementation now needs more emphasis than formulation. This can never entbJ1icirhf7.8(ulation. Thimedo,C



## **1. Introduction**

### **1.1. The Global Biodiversity Programme and SDC support to it**

IUCN began focused work on biodiversity in 1989, when it established a unit for this purpose at the headquarters of the Secretariat in Gland. Early achievements included IUCN's contributions to the Global Biodiversity Strategy of 1992, and the Union's inputs to the Convention on Biological Diversity (CBD), which came into force in 1993. Through the work of this unit and the IUCN Chief Scientist who headed it, the Union has been involved in the CBD since the idea of the Convention was first formulated.

SDC has been supporting IUCN's biodiversity work since 1993, when the two organisations launched a three year programme of Swiss funding for the emerging IUCN biodiversity programme. With the CBD recently launched, the work during those three years focused on global biodiversity issues, and helped IUCN promote global awareness of the concept of biodiversity. During this first phase, IUCN was active in the CBD, and began to develop a prof

**The original objectives of Phase III of the programme**

*A strong international biodiversity agenda with political and financial support is agreed and implemented.*

*Impacts on biodiversity, especially from sectoral activities, I*

particular focus on the approach taken to achieve the results (technical leadership, partnerships, cross-regional links, policy-science-practice links). The terms of reference comprise four key tasks:

Assess the extent to which the expected results of Phase III were achieved.

Describe and assess the relevance, and effectiveness of the partnerships created among Global Thematic Programmes of IUCN, with Commissions and with Regional Programmes in achieving these results in Phase III.

Describe the institutional influences and effects that have occurred in the IUCN Programme that can reasonably be associated with the Phase III work of the Global Biodiversity Programme.

Highlight programmatic and organisational lessons learned with regard to the approach that should be taken into consideration by SDC and IUCN.

In our early discussions of the TOR with SDC and IUCN, three key features of the task became clearer:

It has been commissioned jointly by the funding and executing agencies of the programme, and must therefore respond to the concerns of both parties.

It is not a totally external evaluation by outsiders who maintain an absolute distance from the programme. As reviewers, we were instead expected to maintain the 'right' distance, working closely with the IUCN Secretariat. In the Secretariat, our primary liaison was with the Monitoring and Evaluation Initiative, not with the staff directly responsible for the programme.

The review is thus intended to be a participatory learning exercise for IUCN and SDC, developed through an iterative process of interaction between them and the reviewers.

### **1.3. Factors affecting the review**

As we have indicated, this review was commissioned by both SDC and IUCN, who jointly drew up the TOR. We have therefore had to respond to both agencies' concerns and priorities. Although there are certainly differences between them, it has proved to be quite feasible to report to the two clients in this way.

It might seem strange to be reviewing a programme that has not yet ended. In practice, however, as the programme's activities are wound down during this final year, it has not been too difficult to find well-formed opinions about the strengths and weaknesses of its approach and performance.



Three versions of the questionnaire at Annex 3 were used. IUCN Secretariat staff (at headquarters and elsewhere) were assumed to know most about the GBP and were asked to complete the whole questionnaire, as shown in the Annex. Members of IUCN Commissions were sent a shorter version, containing questions 1-12. Other respondents, such as representatives of donor agencies and NGOs, were only given questions 1-11. We developed the list of respondents in consultation with IUCN, and added a few names from our own networks. The key informants interviewed for this review are listed in Annex 4.

Unsurprisingly, the questionnaire was not enormously popular with many of our respondents. Few filled it in and returned it without prompting. We had to contact many people directly, and fill in the questionnaire with them as we discussed it. The GBF and the CBD Convention of the Parties (COP) that were held in The Hague in April 2002 were valuable opportunities for us to do this. With those respondents we could not meet in person, we carried out telephone interviews.

Table 1 shows the number of responses finally obtained from the range of stakeholders who received the questionnaire. After seven of the initial 68 had been left out because they said they knew nothing about the programme, or delegated the response to someone else, we were left with a survey population of 61. Of these, two thirds ultimately filled in the boxes on the questionnaire and gave us additional explanations and information. We consider this a satisfactory response rate. We could have made it higher. Some people responded to acknowledge receipt of the questionnaire, but did not fill it in or contact us again. Because of a shortage of time, we had to prioritise and did not pursue all the potential respondents with equal vigour. The number of responses and the number interviewed therefore differ. For processing purposes, we consolidated the seven stakeholder groups into five, and later to the three (Secretariat, Commissions and others) that appear in many of the tabulations in this report.

**Table 1. Response to questionnaire**

<b>Category</b>	<b>No. sent</b>	<b>No. of responses</b>	<b>No. interviewed</b>
BPCD staff	4	4	4
Commission leaders, members	9	8	5
Donor and development agencies	12	10	5
Global programmes/thematic leaders	12	12	11
Conservation NGOs	7	5	4
RCOs	15	11	10
Convention secretariats	9	8	2
<b>Removed</b> [had no knowledge of GBP, or delegated response to someone else]	7		
<b>Effective total</b>	61	58	41
<b>Effective response rate</b>			<b>67%</b>

Overall, we believe that the questionnaire and the additional material that we recorded while discussing it with respondents provide an accurate and insightful assessment of the programme's approach and performance. We did note that respondents' quantitative scores across the five rating boxes that were provided for most questions tended to be kinder than some of their comments in the explanatory discussions that followed.

To facilitate analysis, we have presented all of the quantitative data in a series of bar charts (Figure 4 - Figure 25) showing the mean response for each stakeholder group on a scale from 1 to 5. To interpret these means, however, it is important to keep in mind the "spread" or variability of the responses within each stakeholder group. This is indicated in the table accompanying each chart by the standard deviation (SD). For example, the SDs among the responses range from 0 (total agreement) with respect to the relevance of the programme to biodiversity concerns according to the stakeholders from

the Commissions in Figure 4, to  $SD = 1.6$  (a wide range of positive and negative responses) regarding the programme effectiveness as perceived by respondents outside IUCN (Figure 8). Also given in the data accompanying the charts is the number (n) of actual responses to each question, which varied according to the number of “don’t know” answers received for that question in each respondent group.

It is also worth keeping in mind that half of the questionnaires were filled in at either the GBF or the CBD COP. These aspects of the programme’s work are therefore likely to loom somewhat larger in the responses than would have been the case if all the questionnaires had been filled in in the interviewees’ home offices.

In addition to the main task of questionnaires and interviews, we reviewed as much of the programme literature as we could (see the annotated list at Annex 7) and carried out further detailed discussions with a number of key informants. We then presented an outline of our findings at a meeting with SDC and IUCN on 4 June, 2002. This report largely follows that outline.

## **2. Programme structure**

### **2.1. Evolution of the programme**

Having learned from its experience in Phase II, in which the portfolio of projects was very intensively managed, IUCN decided for Phase III to delegate the management responsibility of the programme as much as possible to participating regional offices. As Phase III of the Global Biodiversity Programme was being designed, IUCN was in the midst of a vast and ambitious process to develop a global programme for the next intersessional period and beyond. This world wide programme was drafted in early 2000 and then adopted at the Amman World Conservation Congress in October that year (IUCN 2001a).

In order to harmonise Phase III of the Global Biodiversity Programme with IUCN’s new intersessional programme, the programme framework that had originally been submitted to SDC was “retrofitted” to the new Key Result Areas of the intersessional programme. This exercise (Martinet 2000) produced the programme framework – including objectives, results, projects and indicative budgets – that became the reference point for the programme and for this review. In the process, the original two objectives of the programme (section 1.1), although still considered valid, lost their prominence. They were replaced in the revised planning by the two ‘conservation goals’ of IUCN, but no further reference seems to have been made to these goals in the programme’s annual plans or reports.

### **2.2. Mapping the programme**

This is a complex programme, comprising many activities, and allocations of funds to a range of working partners around the world.

When the programme framework was revised to match the programme’s intended results and activities to IUCN’s KRAs, ten specific objectives were ar

A second source of information has been the budget and expenditure spreadsheet for the programme (SDC Phase III Project Budget and Expenditure Overview 2000-2002). This does not completely match the Workplan in its specification of activities. As we have noted, some of the activities for which there are budgets do not link specifically to any strategic result.

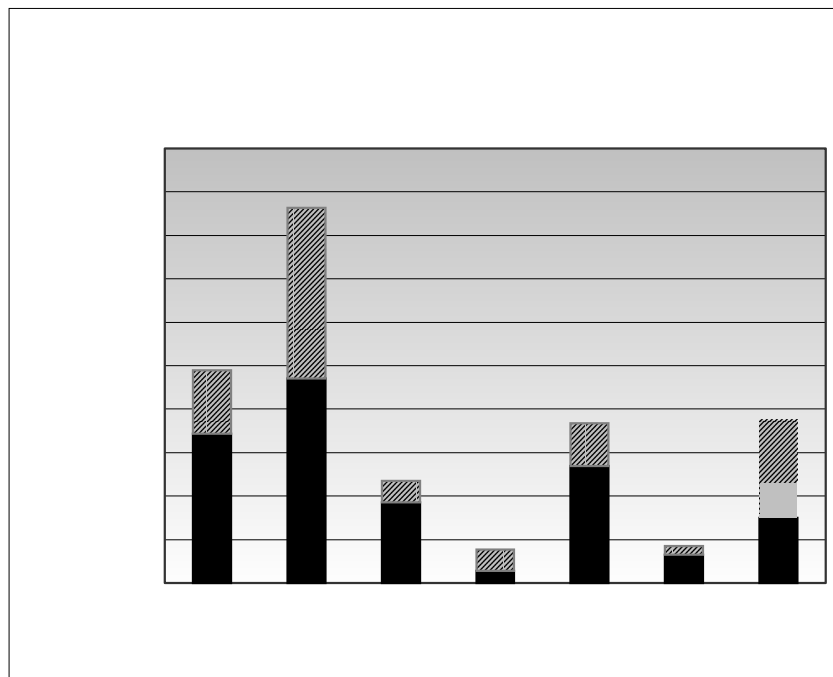
The various elements of the GBP are presented in Table 2 on page 1. This is largely based on the programme's strategic Workplan, with supplementary information from the budget and expenditure tables. All the project descriptions, budget information and other data in the table have been transferred directly from the spreadsheets kindly provided to us by the BPCD. The full text of the programme's objectives and results is given in Annex 5.

In addition to the table showing the individual elements of the GBP, we have analysed the programme expenditures according to their contribution to IUCN's KRAs and to its four broad strategies to address global conservation issues: knowledge, empowerment, governance and operations (KEGO). The results are presented in Figures 1 and 2. These bar charts are composed of project expenditures to date (lower portions), and the estimated allocation of BPCD staff costs (upper portions).

Not surprisingly, the programme's major effort has been allocated to KRA 2 (agreements, processes and policies). Next in importance has been KRA 1 (management and restoration of ecosystems), KRA 7 (management and leadership), and KRA 5 (assessment systems). Incentives for conservation (KRA 3) comprise a third tier, whereas relatively little investment has been made in KRAs 6 (communications) and 4 (equitable sharing). However, this kind of categorisation conceals the fact that some of the activities contribute to more than one KRA. Communications elements, in particular, appear in many of the activities funded by the GBP, although few projects focused directly on KRA 6.

In terms of strategies, the greatest effort has been concentrated on governance, followed by operations, knowledge, and finally empowerment.

**Figure 1. Mapping the programme by KRA**



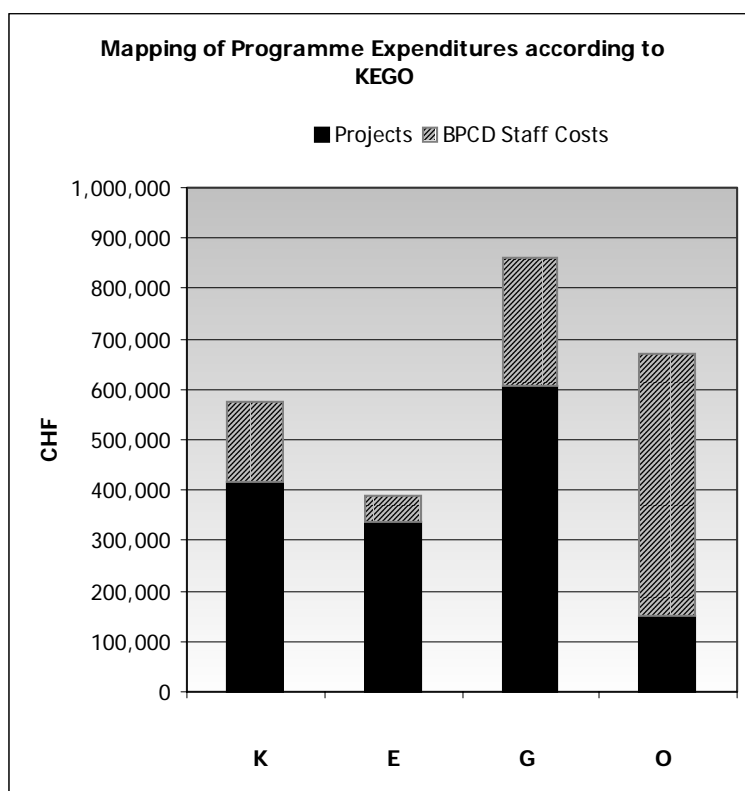
**Figure 2. Mapping the programme by KEGO**

Figure 3 shows the relative allocation of effort among the KRAs of the Global Biodiversity Programme as compared to IUCN as a whole. It is noteworthy that although the GBP is a complex programme, expenditures on management and leadership projects (KRA 7) are lower than in IUCN overall. Otherwise, the GBP has invested relatively more in policy work, and quite a bit less in ecosystem management and restoration and in equitable sharing of costs and benefits than has the organisation as a whole.

Another way of mapping the programme is by project expenditure. Annex 6 ranks all the projects in the GBP portfolio according to expenditure to date, from the highest to the lowest. Aside from the BPCD staff costs at close to a million Swiss francs (CHF), project expenditures range from CHF 300,000 for the CBD policy work, to under CHF 2,000, for example, for projects in Asia on biosafety and on alien invasive species. Of course, one reason for low expenditure may be a recent start. Annex 6 also shows the actual budgets for each project, which (excluding staff costs) range from CHF 300,000 to CHF 2,500. The median project budget is CHF 40,000.



**Figure 3. Comparison of expenditures by the GBP with those of IUCN as a whole**



KRA	KEGO	GBP Objective(s)	Expected Result(s)	Project	Orig. Budget	Actual Budget	Expenditure	Programme
2.6	G	1. Decisions and policies influenced	1.2 IUCN Policy papers on priority issues prepared and advocated for key CBD events 1.5 Support provided to enhance national level capacities to implement the different provisions of the CBD	Regional policy guidance on Sustainable Use of Biodiversity in Africa, Latin America, and Asia	40,000	40,000	40,000	SUI
2.6	G	1. Decisions and policies influenced	1.2 IUCN Policy papers on priority issues prepared and advocated for key CBD events 1.3 Regional and national preparatory meetings facilitated to prepare Parties and NGOs for CBD meetings	IUCN policy work for CBD meetings	450,000	300,000	205,018	BPCD
2	O ?	1. Decisions and policies influenced	<i>1.4 Advice and policy support provided to biodiversity-relevant inter-governmental processes</i>	<i>In 2002, Chief Scientist appointed to lead technical input to intergovernmental processes</i>	-	-	-	BPCD



<b>KRA</b>	<b>KEGO</b>	<b>GBP Objective(s)</b>	<b>Expected Result(s)</b>	<b>Project</b>	<b>Orig. Budget</b>	<b>Actual Budget</b>
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KRA	KEGO	GBP Objective(s)	Expected Result(s)	Project	Orig. Budget	Actual Budget	Expenditure	Programme
2	G?	3. Biodiversity-related agreements implemented in a synergistic manner	<i>3.8 Enhanced regional and national legal and institutional capabilities for implementation of UNFCCC in relation to biodiversity conservation</i>		-	-	-	BPCD §§
2.2	K	4. Biodiversity planning processes implemented  5. Incentive measures developed and implemented	4.1 Experience shared and capacity built in the development and implementation of NBSAPs 4.3 Guidelines and tools prepared on the integration biodiversity concerns into sectoral planning 5.1 Support provided for funding mechanisms for CBD implementation and biodiversity conservation at national and regional levels 5.3 Support provided for incentives for CBD implementation and biodiversity conservation at national and regional levels	Mainstreaming biodiversity into the economic policies, programmes and plans of the forest sector in East Africa, Asia and South America	158,000	97,000	96,290	EARO
2.5	E	4. Biodiversity planning processes implemented	4.1 Experience shared and capacity built in the development and implementation of NBSAPs	Development of provincial BAP guidelines	75,000	55,000	50,445	Asia RBP
2.5	E	4. Biodiversity planning processes implemented	4.1 Experience shared and capacity built in the development and					

KRA	KEGO	GBP Objective(s)	Expected Result(s)	Project	Orig. Budget	Actual Budget	Expenditure	Programme
6	E	4. Biodiversity planning processes implemented	4.1 Experience shared and capacity built in the development and implementation of NBSAPs	Building communication capacity among IUCN RCOs, members and partners	115,000	75,000	60,240	CEC
2	E?	4. Biodiversity planning processes implemented	<i>4.2 Implementation of national biodiversity strategies and action plans supported in several regions</i>		-	-	-	
3?	?	4. Biodiversity planning processes implemented	<i>4.4 The development and implementation of corporate biodiversity strategies by selected private sector institutions supported</i>		-	-	-	
3.6	G	5. Incentive measures developed and implemented	5.1 Support provided for funding mechanisms for CBD implementation and biodiversity conservation at national and regional levels 5.3 Support provided for incentives for CBD implementation and biodiversity conservation at national and regional levels	Regional Environmental Economics programme for IUCN Asia and Pakistan	86,000	86,000	43,000	Asia
3.6	G	5. Incentive measures developed and implemented	5.1 Support provided for funding mechanisms for CBD implementation and biodiversity conservation at national and regional levels	Amazon Basin Economics Workshop	17,300	17,300	17,300	SUR
3	G	5. Incentive measures developed and implemented	<i>5.2 Support provided to governments to use new financing mechanisms to implement the CBD</i>		-	-	-	



KRA	KEGO	GBP Objective(s)	Expected Result(s)	Project	Orig. Budget	Actual Budget	Expenditure	Programme
3.7	G	5. Incentive measures developed and implemented	5.3 Support provided for incentives for CBD implementation and biodiversity conservation at national and regional levels	Biodiversity Incentives and Economic Strategies	125,000	125,005	125,005	Economic s
3	G	5. Incentive measures developed and implemented	<i>5.4 Support provided to governments to use new incentive mechanisms to implement the CBD</i>		-	-	-	BPCD
2.5	E	6. Equitable and fair sharing of benefits	6.1 Support provided for the development of concepts, case studies and tools on sharing of benefits from biodiversity	Publication of Madras Workshop proceedings (on access and benefit-sharing)	25,000	15,000	13,361	Asia RBP
4.1	K	6. Equitable and fair sharing of benefits	6.1 Support provided for the development of concepts, case studies and tools on sharing of benefits from biodiversity	Development of Tools and Capacity for Benefit-Sharing	40,000	40,000	28,251	BPCD, SUR, Env Law
4	E	6. Equitable and fair sharing of benefits	<i>6.2 Support to capacity building of decision-makers to implement benefit-sharing measures provided</i>		-	-	-	
4	E?	6. Equitable and fair sharing of benefits	<i>6.3 Support to policy development and advocacy on benefit-sharing in key fora provided</i>		-	-	-	RCOs §§
5.1	K	7. Tools and methodologies for biodiversity assessment	7.1 The development of indices of biodiversity health from the IUCN Red List of Threatened Species are supported	Using the IUCN Red List to Develop Indicators on the Status and Trends of Biodiversity	34,000	34,000	34,000	Species





<b>KRA</b>	<b>KEGO</b>	<b>GBP Objective(s)</b>	<b>Expected Result(s)</b>	<b>Project</b>	<b>Orig. Budget</b>	<b>Actual Budget</b>	<b>Expenditure</b>	<b>Programme</b>
1.7	O	9. The options to strengthen capacity and management effectiveness regarding climate change identified	<i>9.5 Regional networks of Governments, NGOs and private sector to promote an ecosystem approach as an integral response to climate change developed</i>		-			



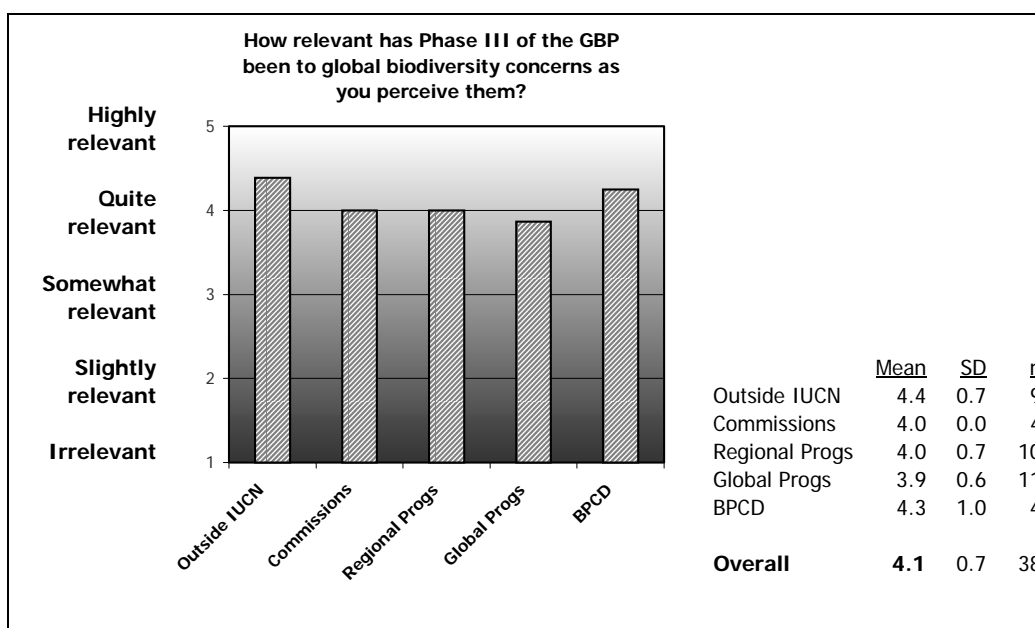
### 3. Programme performance

#### 3.1. Relevance

##### 3.1.1. Relevance to biodiversity concerns

Given the vast scope of global biodiversity concerns, how relevant has Phase III of IUCN's GBP been? One of IUCN's strengths has always been its multidisciplinary perspective, strong science, and clear understanding of key issues that must be taken into account to address biodiversity concerns. IUCN in general, and the GBP in particular, are seen by our respondents to be working on the right issues. The inconsistent but generally very broad definitions of 'biodiversity' in use today meant that we had to ask people to assess relevance with regard to biodiversity concerns 'as you perceive them'.

**Figure 4. Relevance to biodiversity concerns**



A "virtuous cycle" between IUCN and the Secretariat of the Convention on Biological Diversity (CBD) has meant that IUCN has been instrumental in setting the CBD agenda from the outset. Furthermore, the international biodiversity agenda is to a great extent established by the CBD. The GBP has been very relevant to this process in terms of global policy and in empowering regional voices to speak out. The programme has helped connect regional, national and key thematic issues to the CBD and to the international biodiversity agenda.

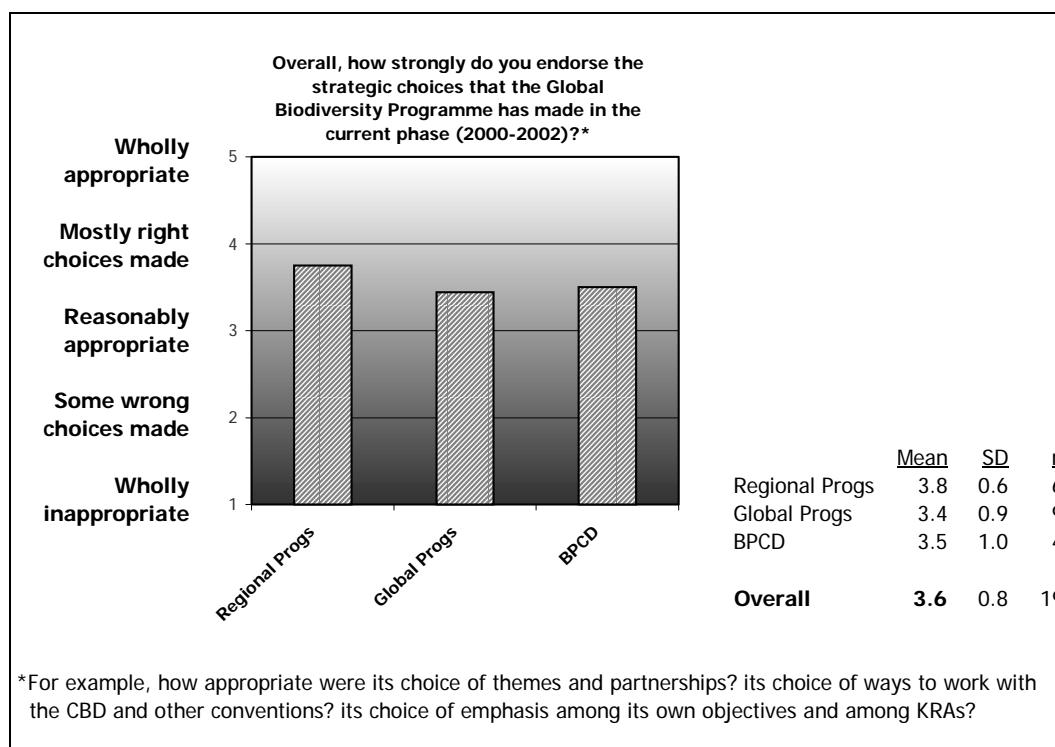
However, as both biodiversity and the global agenda are increasingly impacted by powerful global forces such as trade, macro-economics and climate change, IUCN will need to target other processes, such as the World Trade Organisation, the World Intellectual Property Organisation and the Convention on Climate Change, more strategically. Without this shift in effort, IUCN will run the risk that its efforts to conserve biodiversity are marginalised by global forces outside of its sphere of influence. The mandate of the new Policy, Biodiversity and International Agreements Unit (section 1.1) reflects recognition of this need, as IUCN expands its attention to other cross-sectoral international agreements.

##### 3.1.2. Strategic choices made

Within the overall framework of the relevance of its programming, we went on to ask IUCN staff how strongly they endorsed the strategic choices that Phase III of the GBP had made. For example, how appropriate were its choices of themes and partnerships? Did it choose the right ways to work with the

CBD and other Conventions? Did it balance its emphasis appropriately among its own objectives and among the KRAs of IUCN's Intersessional Programme? This is a complex question, but it matches the complexity of the programming challenge that the GBP presented, particularly after its original planning framework had been woven into that of the Intersessional Programme. However, respondents generally felt that the strategic choices made by the GBP were fairly good.

**Figure 5. Strategic choices**



One strategic area that perhaps did not receive enough attention was linking biodiversity with poverty and livelihoods. Nevertheless, many issues that are of critical importance for biodiversity conservation have been addressed in Phase III of the GBP, for example: economics, climate change, invasive species, agriculture, biodiversity indicators, wild meat, biosafety, the ecosystem approach, assessment methodologies for compliance with the CBD, and tools for benefit sharing.

There was, however, a common view that the programme had been spread too thin, by providing grants of relatively small amounts of money to a very wide range of project partners. Of all the projects funded by the GBP, the median actual budget is CHF 40,000 (Annex 6). The themes that were chosen were generally good, but there were too many – which is no doubt a reflection of the participatory nature of the programme and of its planning mechanism. This dispersal of effort affected the programme's efficiency (section 3.2), but even more importantly it is likely to have reduced the GBP's overall impact. A more coherent and focused approach to strategic choices at the outset of this phase would probably have enhanced the programme's ultimate impact.

*Strategic choices were a bit like feeding the fishes.*

- Survey respondent

## 3.2. Efficiency

### 3.2.1. Introduction

Although assessing the efficiency of this programme's operations does not appear directly in our TOR, it seems important to us to address the issue. Programme efficiency clearly influences programme effectiveness, and is partly a function of programme approach. Some of the efficiency issues to be

addressed here are integral to the institutional influences and effects, and the programmatic and organisational lessons learned, that our TOR do ask us to address.

### 3.2.2. Planning

#### **Criteria applied to project funding by GBP Phase III**

1. *Makes a substantial contribution to the IUCN Programme Framework and Strategic Results Areas for 2001-2004;*
2. *Addresses significant globally-relevant issues in ways pertinent to at least two regions;*
3. *Generates substantial additional project activity and co-financing;*
4. *Breaks new ground, or adds substantial new component to an existing major activity;*
5. *Generates information/experience that can be used to support policy development and is transferable across countries... and electronically...;*
6. *Builds capacity and/or has a training element;*
7. *Involves at least one each of global programmes, RCOs, Commissions and Members;*
8. *Is sustainable in that it can be integrated into the long-term regional/thematic programme;*
9. *Catalyses the Union to implement the CBD.*

IUCN BPCD, 2000: 1.



there was more detailed planning for the large number of usually small project activities for which RCOs and some Commissions and global programmes were allocated funds.

Phase III of the GBP applied a number of criteria to the funding of these projects (see box above). Particularly important were those requiring each project to be a joint effort by a number of partners (7) and to generate additional funding (3). (Later, criterion 7 was relaxed, removing the requirement for the involvement of a member in every activity.) We return to these two important features of the GBP in sections 4.1 and 3.3.3 respectively.

Budgetary management of Phase III of the GBP was influenced by the fact that each annual allocation of funding from SDC had to be spent within the calendar year. It was also guided by the need to adjust the overall package to the variable expenditure and performance rates of the many projects that were receiving funding. Annual allocations to the recipient projects were adjusted according to the technical and expenditure reports received. Latterly, they were also influenced by the overall state of GBP finances (section 3.2.3). Allocations that had been planned for 2002 had to be cut because the project had spent more than had been assumed.

In practice, these arrangements led to confusion and, ultimately, recriminations. Despite the BPCD's insistence that it was made abundantly clear that allocations would have to be reassessed and possibly adjusted each year, some recipients did not acknowledge or understand this. Particularly in 2002, they have been upset to find that they cannot carry through with their plans and commitments because this annual process has not come through with the funds that they were expecting for this year. In any event, the annual nature of these planning and budgeting tasks certainly increased the administrative burden for all concerned and the rules of allocating, using and reporting on the funds were not communicated clearly enough to the recipients.

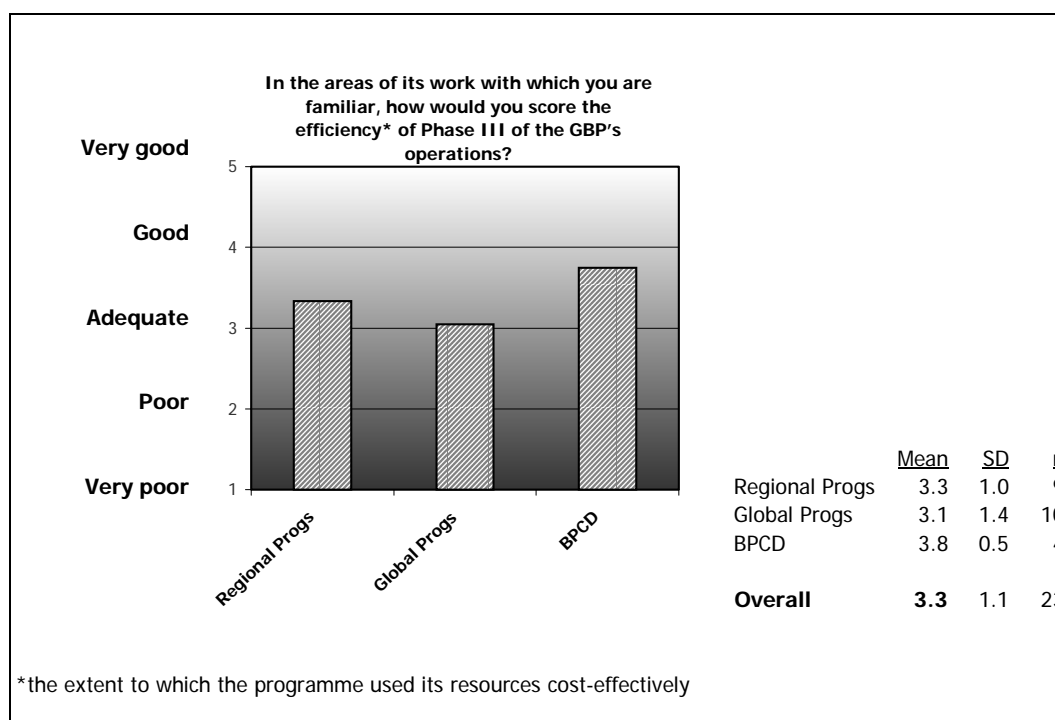
### **3.2.3. Administration**

Not surprisingly, the complexity of this programme placed a heavy administrative burden on the BPCD, and indeed on the various recipients of GBP project funding elsewhere in the Union. While the BPCD had 'micro-managed' projects funded under Phase II of the programme, imposing very strict reporting requirements, it handed more of the responsibility to the recipients of the funds in Phase III. While this should have reduced the load at headquarters, there were at least two reasons why it did not. First, the total number of projects in Phase III was greater. Secondly, the devolution of some project funds.



3.2.2, 3.2.3). A deeper reason, for some respondents, was that supporting process work through this sort of fragmented funding of activities turned out to be almost more trouble than it was worth.

**Figure 7. The efficiency of GBP operations**



The programme was arguably much more cost effective in its work on global policy. Although assessment of the policy impact of the programme is beyond the scope of this review, the GBP's policy work is generally judged to have been effective and valuable (section 3.3.1). IUCN used this programme's resources to influence global policy in many ways, notably through the CBD. The scale of results achieved here, although diffuse and hard to measure, is certainly greater than that of the budgets the GBP had available for playing this catalytic role.

### 3.2.5. Monitoring and reporting

A programme review like this always depends on two related factors: the clarity and logic of programme design, and the design and performance of programme monitoring and evaluation (M&E). A key part of the M&E process, of course, is the internal and external reporting that the programme carries out. The reviewers' task is much easier:

- if the programme was clearly and logically designed;
- if that design included an M&E system that would report progress against design; and
- if that M&E system has operated efficiently.

As we have shown above, the design of this programme was complex, and it evolved through several stages. But it always set out objectives and results, specifying the activities that were intended to achieve the results. The Phase III programme docum



survey. But we can begin with the single overview question on programme effectiveness that we

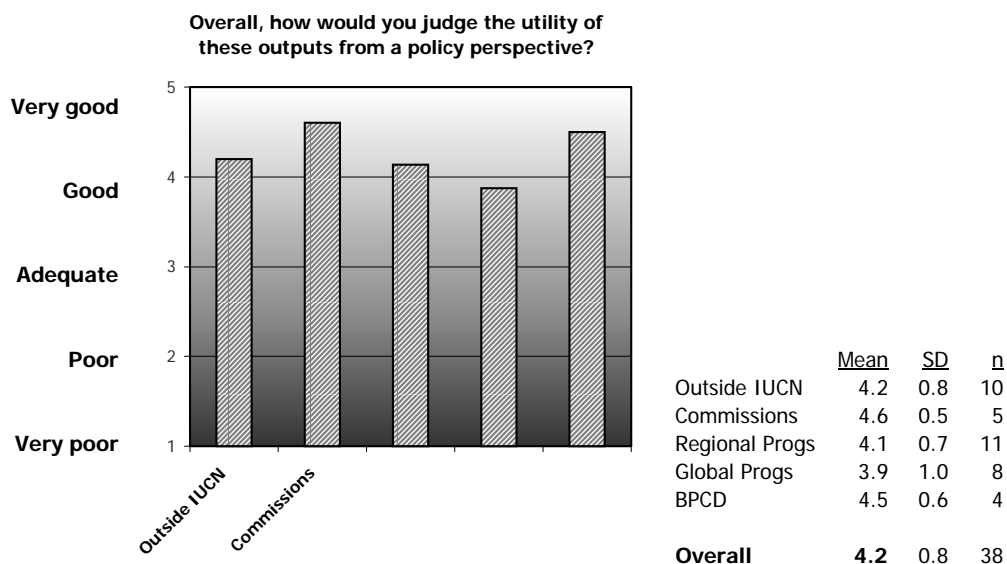
**Policy related objectives in the 2000 plan for Phase III**

1. *Decisions and policies affecting biodiversity influenced by recommendations and guidelines provided, based on sound interdisciplinary scientific information.*
2. *Governments, the scientific community and civil society have greater commitment to the conservation, sustainable use and management of biodiversity.*
3. *Biodiversity-related agreements implemented in a synergistic manner.*
4. *Integrated and effective biodiversity planning processes implemented by governments and relevant institutions.*

**Most relevant KRA 2 results**

1. *Technical and legal analyses of critical issues for selected agreements.*
2. *Tools and guidelines to assist the implementation of major agreements, processes and policies.*
5. *Enhanced regional and national legal and institutional capabilities for implementation of key agreements that affect biodiversity conservation.*
6. *Use of key biodiversity-related agreements to promote conservation as a result of IUCN's influence.*
8. *Synergies between key agreements, processes and policies are enhanced as a result of advocacy by IUCN.*

Virtually all of the respondents had used one or more of the programme's policy-related outputs. Commonly cited examples were Global Biodiversity Forums (GBFs), CBD policy briefs, climate change papers, policy papers on access and benefit sharing, guidelines for invasive species, biodiversity assessments, tools for implementing National Biodiversity Strategy Action Plans (NBSAPs), and national preparatory sessions for the CBD. As can be seen from Figure 9, they generally judged the policy utility of these outputs to be good.

**Figure 9. Policy utility of programme outputs**

decisions taken by the COP, and there are numerous examples of IUCN positions, and even language, reflected in decisions at international policy forums.

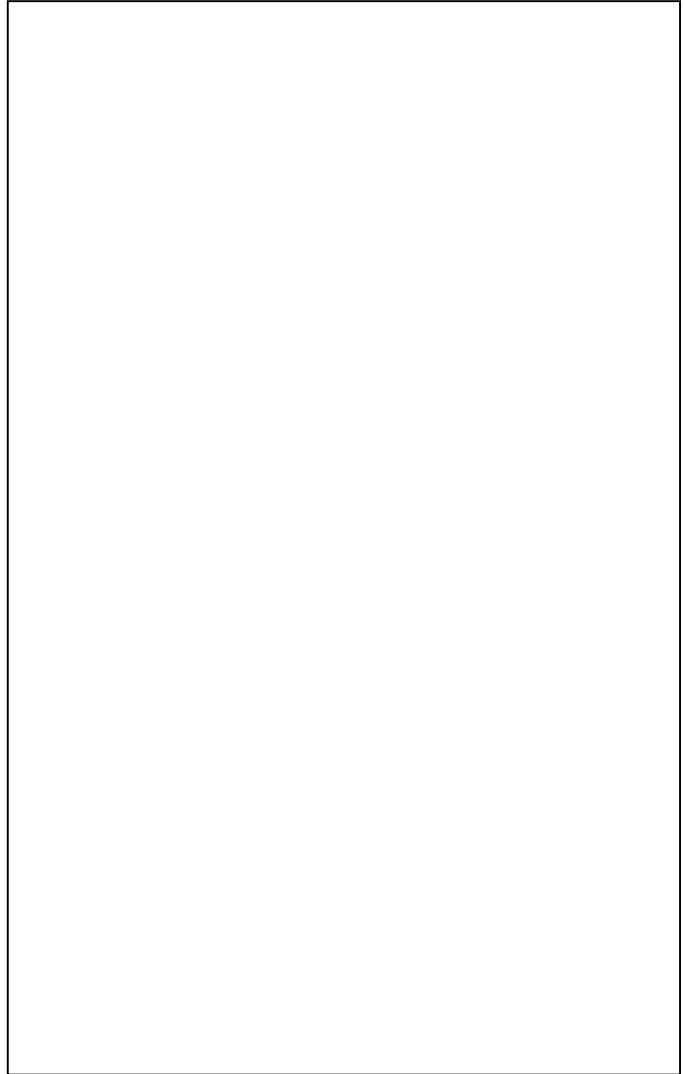
For the recent CBD COP in The Hague, IUCN had identified four priority issues: forests, invasive species, access and benefit sharing (A/BS), and the CBD strategic plan for its lobbying and advocacy work (Chouchena-Rojas, 2002). Results at the recent COP were mixed at best. The new CBD programme of work on forest biodiversity does include some key elements supported by IUCN (the

*A catalyst for critical  
thinking by delegates.*

-Survey respondent

although based on hard science and clear priorities, sharp, focused positions become softened and more general - with the result that the policy outputs of this process may be less useful, especially for lobbying or campaigning. Again, this is the broader problem of the CBD: converting general intentions that everyone will agree with into meaningful action on the ground. In getting agreement, IUCN sometimes pays a price in the potential impact of its policy proposals. Given the nature of the Union and the broad context in which IUCN works, some of its policy proposals are likely to be softened (the)TJ-21.5685 -1





(‘Governments and users have developed and implemented incentive measures and financial systems that support biodiversity conservation and sustainable use’). In some ways the GBP’s contribution to the regional environmental economics work has been more conceptual than financial. As we have noted, the direct funding has been a minor part of the total. But the way in which GBP funding supported inter-regional partnerships, and the way in which the GBP link helped stimulate involvement in sectoral and national activities like forest programmes and National Biodiversity Strategies and Action Plans (NBSAPs), have been much appreciated. Programme support has enabled cross-regional capacity building, and capacity building within country offices, in environmental economics.

Although the Biodiversity Economics Unit at headquarters was originally funded alongside the Global Biodiversity Support Unit by Phase I of the programme, economics has had a succession of different institutional homes in headquarters since then. The headquarters economics programme has not been closely linked to the BPCD during Phase III. Some CHF 200,000 of Phase III funding was provided to two economics projects (on incentives and on biodiversity and impact assessment), but the regional economics work that Phase III has supported had a much higher profile in our survey respondents’ perceptions.

This has been a quick survey of some of the more prominent areas of IUCN work funded by Phase III of the GBP. There have been other important and apparently effective activities that we have not been able to mention here, although all of them are listed in Table 2. Although an accurate assessment of programme effectiveness is impossible for the reasons outlined above, our overall conclusion is positive. The programme has been successful in achieving many of its intended results, whether one defines those intentions with reference to the KRAs of the Intersessional Programme or in terms of the revised Phase III plan drawn up in 2000. As ever in IUCN’s work, the main achievements have been in the realm of words, knowledge and ideas. The constant challenge is to translate these achievements into practical action to conserve biodiversity.

### **3.3.2. The scientific quality of the programme’s work**

Our survey included one alternative approach to the issue of programme effectiveness. It asked how

Various qualifications were expressed. For example, some respondents pointed to the risk of complacency in IUCN's assumption that its Commissions represent scientific excellence. Others argued that the question should not really be about scientific quality as such, but more about the quality of IUCN's work as applied science, and the connections that IUCN facilitates between policy, science and practice (section 4.3)

### **3.3.3. Leverage of extra funds**

One of the GBP criteria for funding projects (see box on page 1) was that every project should have other sources of funding; ideally GBP funds should represent no more than 25% of a project's budget. While many people interpreted this as a cost-sharing requirement, the original intention was apparently to emphasise the innovative nature of the activities being supported. It was hoped that the SDC funds would be seen and used as seed money to try out new ideas and demonstrate their potential, thus attracting more support from other sources. An important dimension of programme effectiveness is therefore the extent to which this leveraging took place.

Data are not available at this point from IUCN on which projects succeeded in raising additional funding, nor on the amount of funds that were leveraged through the GBP grants. The BPCD plans to collect these data by the end of the project, and to report on this in the final project report in early 2003.

Of the respondents in the present survey, about half reported that additional funds had been raised (Figure 11). GBP projects obtained funds from, among others, BMZ, the CBD Secretariat, Central American governments, Conservation International, the Darwin Foundation, the Dutch Government, Ford Foundation, GEF, the Norwegian government, SDC Innovation Fund, UNDP, US Forestry Service, White Oak Foundation, WRI, and WWF.

The Asia Regional Biodiversity Programme (RBP) provided an example of leveraging of extra funds. The Asia RBP received a budget of CHF 341,400 from the GBP for 13 projects, and 3.5(0)00

*A problem is to tie in global thinking with regional and national realities, for example thinking you could initiate a network of biodiversity planners within the region, and expecting the RCO to do that within one year. But regions have different capacities and situations. Different levels of working, therefore different levels of outputs. Another problem is that decisions on funding were purely top-down. You make suggestions, but are told that this is what is available. Some regions have been lucky because this came when they already had other biodiversity projects and other biodiversity donors. Not the case in my region... Resources*

Finally, it would seem that the GBP has had a positive impact on IUCN's relations with many of its members, who consider many of the products of the GBP to be of value to them. This 'value-added' perception of IUCN has no doubt helped produce or sustain good relations with members and donors.

## 4. Programme approach

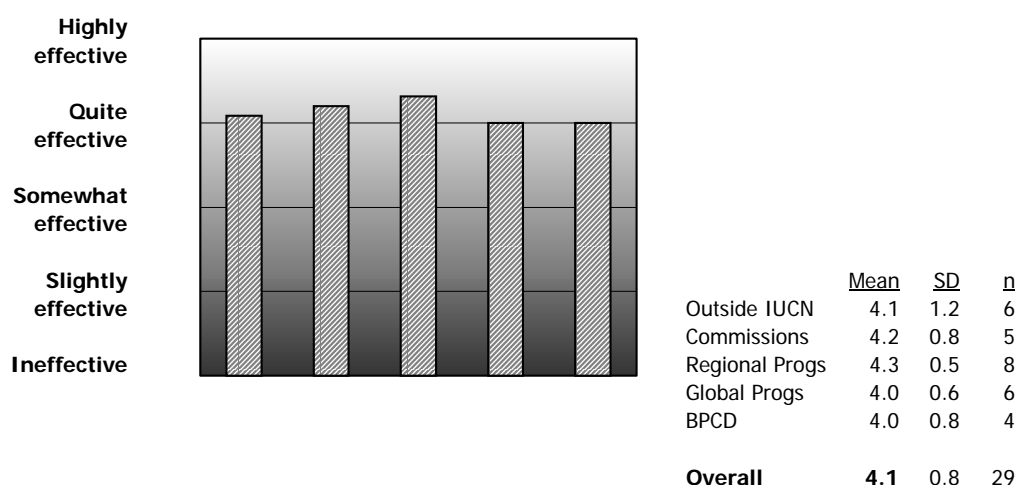
### 4.1. Partnerships

One of the most prominent features of Phase III of the GBP, and one of the most interesting aspects of its experience for IUCN as a whole, is its promotion of partnerships among and between RCOs, global thematic programmes and Commissions. As we have seen (section 3.2.2), it was a criterion for programme funding that each activity be based on such partnerships. This certainly stimulated interaction between the various parts of the Union, and the programme's policy work has involved it in a broad range of other partnerships with MEAs, NGOs and other international agencies. Biodiversity policy work also involved a range of partnerships between different parts of IUCN. RCOs, country offices, global programmes and the BPCD interacted in various ways as they prepared themselves and their collaborators for CBD events.

There is little doubt that, because of its structure as a global Union, IUCN is well placed to develop productive partnerships between its components and regions. It is also well known that IUCN has used this potential too little in the past. Stronger collaboration between RCOs is a particularly desirable target, given their closer links to members in some of the areas of greatest biodiversity concern, their usually lower operating costs, and the general principle that the real or perceived domination of IUCN's northern headquarters should be reduced.

Our survey asked respondents what kind of partnerships had been built or used by Phase III of the programme. They mentioned many, within and beyond IUCN. Then we asked how effective they felt these partnerships had been in achieving the two initial broad objectives of Phase III. As Figure 12 shows, the programme scored well in this regard.

**Figure 12. Effectiveness of partnerships**



\*building a strong international biodiversity agenda and developing measures to respond to impacts on biodiversity

*Developing partnerships absorbs energy in the*

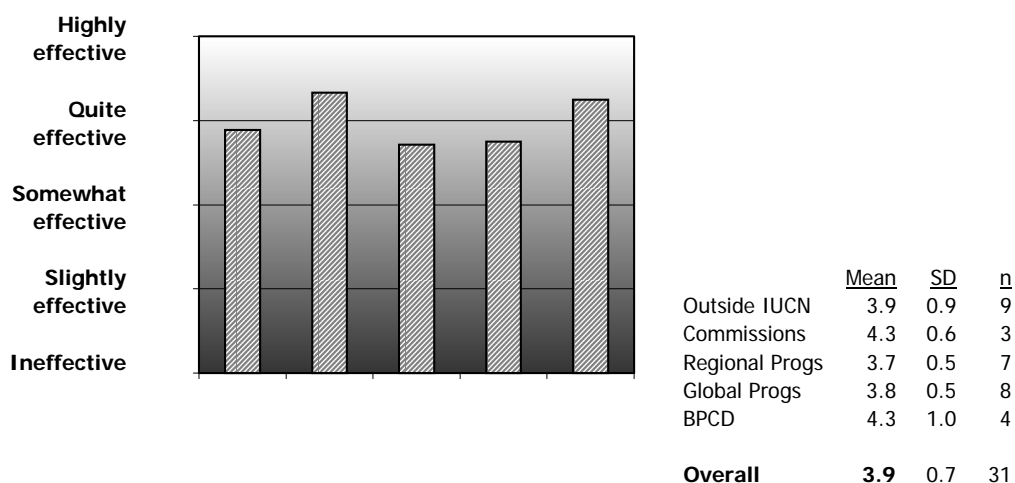


*In the areas we have worked in so far, we have mainly concentrated on policy actions – very little on practice. Still struggling with structures and actions on the ground. This is where we need to go now. Link between the thinking upstairs and the reality on the ground. People on the ground are still struggling on how to implement. A few countries (e.g. Namibia) have specific departments to implement their NBSAP, but these are very few.*



link might reward more attention, although the practical difficulties have to be recognised. As a Union whose members include governments, IUCN has to maintain an appropriate distance from advocacy groups that take strident positions against some of those governments' policies. Some of the other agencies with which IUCN works face periodic budget and capacity problems that reduce their potential for a complementary role in what IUCN is trying to achieve.

**Figure 16. Effectiveness of policy-science-practice linkages**



(section 3.3.1). This, quite rightly, was programmatic work. It was not devoid of structure or plan, but the GBP allowed the BPCD the resources and the flexibility to build it in the most productive directions, without such rigid timeframes or (Table 2 would suggest) budgetary restrictions.

Despite all the advantages and achievements of Phase III's approach with the multiple partners whom it helped to fund, the GBP has not adequately confronted this dichotomy or its implications. Given the nature of the problems they are tackling, IUCN and its partners need to work programmatically. Atomising the task into project-sized fragments is counter productive, especially when the budgets for these fragments appear to be unstable from year to year. Yet the programme was right to seek to work with multiple partners around the Union, and to require coherent and convincing planning and accounting from them.

What is the solution? The approach of multitasking with multiple partners is sound, but it needs to be framed programmatically rather than being compartmentalised into the bureaucracy of project and sub-project management. There will always be a tension between these objectives, as IUCN has realised all too well in trying to structure the work of the whole Union into the Intersessional Programme.

Phase III of the GBP would have been able to resolve this tension better if it had been able to achieve more budgetary stability for its component activities. Moreover, it could have adopted a more programmatic approach if it had focused on fewer themes. There is an irony in this. At the start of Phase III, the message to the BPCD was to be as participatory as possible in the planning of the programme. Towards the end, the message is that the participation went too far. A project-based approach to a multitude of programmatic intentions has achieved some good results, but has frustrated many of those involved – not least the administrators in Gland.

#### **4.5. Learning**

As a final word on the programme approach, it is regrettable that, based on its experience in the first two phases, Phase III of the GBP did not develop a programme design aimed both at key results and at learning. Focusing on the learning opportunities of the GBP would have required a very different programme design, i.e., determining hypotheses to be developed and explicit conceptual models of how they might work in light of the programme objectives, and then selecting a portfolio of projects to test these hypotheses. Obviously, creating a learning programme would also have required a proactive, rigorous, and effective M&E system, together with mechanisms for analysing and sharing data across the programme, and for communicating results and lessons learned both internally and externally. IUCN lost a golden opportunity it had during the design of Phase III to set up a learning programme as part of the GBP.

## **5. Institutional influences and effects**

### **5.1. Programme and project management**

Phase III of the GBP has not had a direct influence on the way in which IUCN as a whole manages its programme and projects. In terms of direct effects, the reverse has been more true. The design of Phase III was revised to take account of the Intersessional Programme after the latter had been finalised. Nevertheless, many parts of the Secretariat have been watching the approach and management of the GBP with great interest.

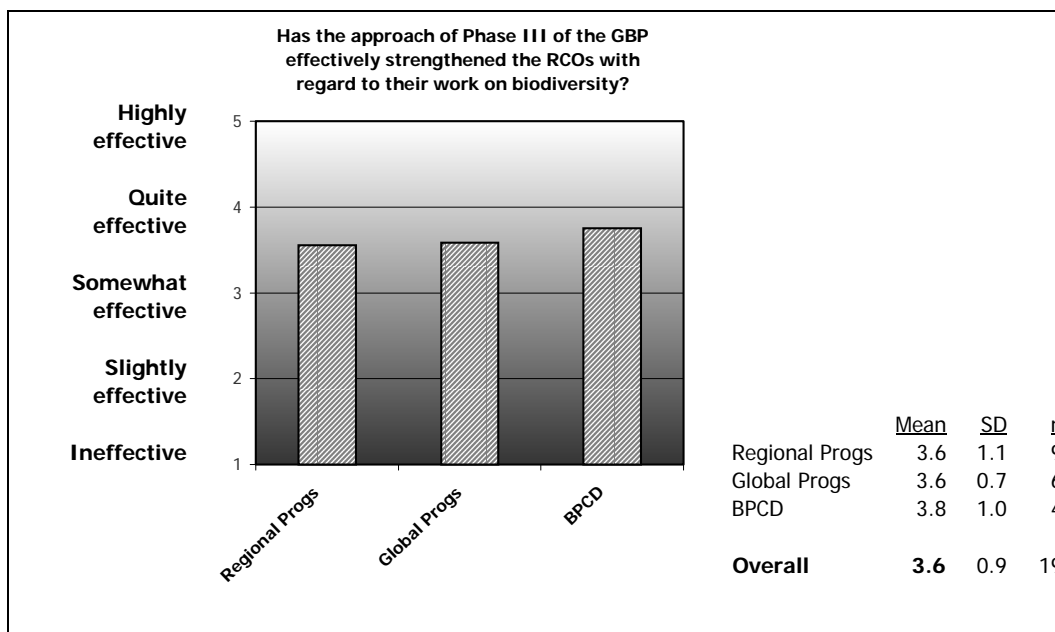
As we have shown, the challenges faced by the GBP are typical of those facing the Union as a whole as it tries to structure and rationalise its activities. The experience of the GBP in promoting and funding horizontal and vertical working partnerships within the Union has been particularly instructive to this broader audience. It encapsulates one of the broader challenges of IUCN: making the whole







**Figure 19. Strengthening RCOs**



**Figure 20. Strengthening Global Programmes**



of action on biodiversity. Here, we consider the internal, institutional question of how much IUCN itself has been integrated by this experience.

We have considered two aspects of this question with the IUCN staff who responded to our questionnaire. An essential preliminary is whether an appropriate balance of resources has been struck between headquarters and the regions. If there is dissatisfaction over that, then a satisfactory working integration of the Union is hardly likely. The answers to the question, in Figure 21 below, are in one sense quite predictable. RCOs are least satisfied with the way the funds were allocated, and the BPCD at headquarters is most satisfied. It is perhaps telling that the only 'project' to be overspent with respect to its budget is the BPCD staff costs. Indeed a comparison of the original project budgets, their actual budgets, and their expenditures to date (Table 2) shows that many projects have been drastically cut back since their initial budget allocations.

*We may need to revisit how much money would be enough to adequately support the regions' biodiversity work. How to identify priorities in terms of themes in regions or Commissions? Otherwise the programme is spread too thin, and expecting to raise counterpart funding is not realistic.*

*The GBP has been strongly oriented towards the regions, which is good. The global programmes did not need as much.*

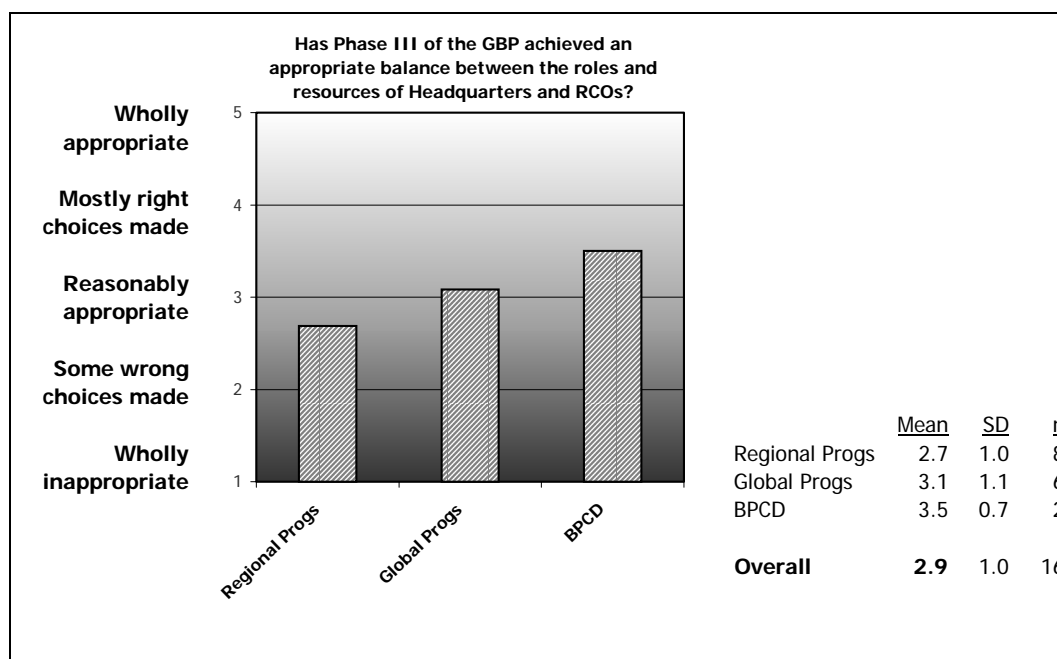
*Too many organisations regionalise too much. A good balance is being achieved by IUCN now. Good people in the regions and good central core (have seen bad regionalisation in some other organisations). HQ money tends to look like 'keeping staff'. But this programme needs international/global level work too.*

- Survey respondents

Figure 1 on page 1 shows the estimated proportion of total expenditure for work in each KRA that was used for BPCD staff costs. Of course, part of these high central costs was dedicated to the heavy administrative burdens imposed by the fragmented, project-based system of support for regional activities. If a more focused and programmatic approach had been applied in the GBP, there would have been more resources available for distribution to the regions and satisfaction with the balance might have been stronger.

The consensus, at least in Gland, is that Phase III of the GBP carried regionalisation far enough, and that it would be a mistake to reduce the role and the budget of headquarters any further. Furthermore, the question remains how apparently 'core functions' that up to now have been funded by the GBP – such as IUCN's interaction with the CBD – will be funded after the GBP has ended.

**Figure 21. Balance of resources**

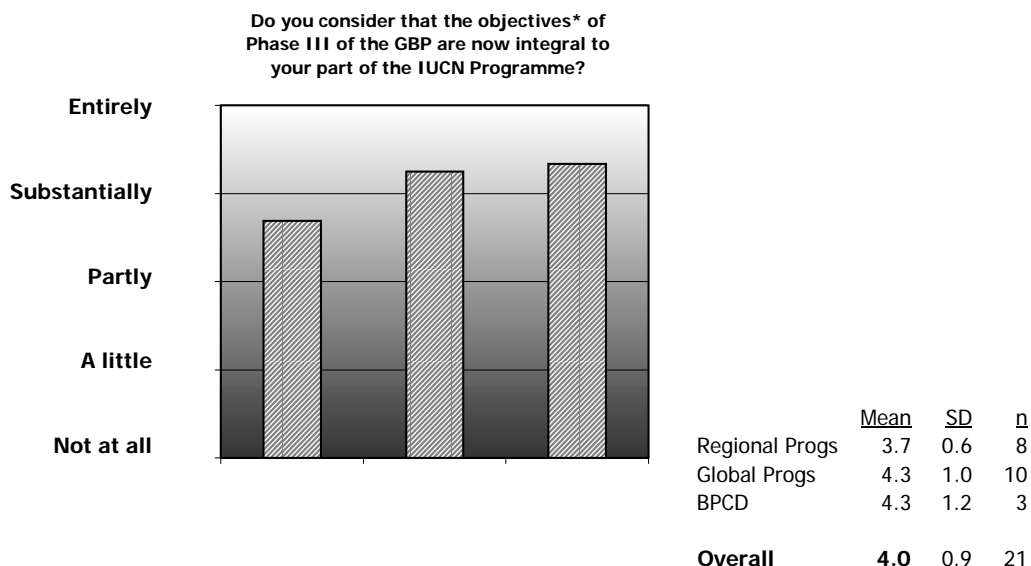






an objective of the BPCD and of SDC support for it. In raising the issue, it was hard to know how to define 'biodiversity', as the concept has grown so broad and there are so many different definitions of it now in circulation. Like gender, the concept has evolved (see box above). We ended up asking whether the two original objectives of Phase III are now integral to the part of the IUCN Programme in which the respondent works.

**Figure 23. Integrating 'biodiversity' into the Union**



*GBP was successful in putting the elements out there, but fell short on going the full length.*

*In West Africa, CBD is seen as less important than CCD and attention to biodiversity issues is less important than poverty alleviation. Decision makers have not been totally convinced yet of the close links between poverty alleviation and biodiversity conservation. In general biodiversity has been mainstreamed into the overall IUCN Programme. This is a big achievement of the GBP. The spirit of the CBD is everywhere in our work.*

- Survey respondents

*Some issues are being addressed, like access and benefit sharing. Issues like gender need to be addressed in detail.*

*Especially in [forest] restoration work they are integrated. Despite limited funds, they have to do this. Sustainable livelihoods approach has to be adopted.*

*Real efforts remain to be made by IUCN to integrate economic tools in the system. Social aspects are much better covered in our part of the world than economic affairs. We work a lot at the local and national level, but as long as we cannot put a dollar value on what we have achieved, we always lag behind the decision-making. IUCN needs to develop real economic tools to demonstrate the value of biodiversity. Need to build capacity at the regional level and at the global level to do this.*

- Survey respondents

*CBD is*



particularly since – as the mandate of the new PBIA Unit shows - there is a growing awareness in IUCN of the large number of other MEAs with which it would be productive to work.

As we have noted, a reappraisal of IUCN's relationship with the CBD needs to be grounded in an assessment of its links with the growing number of other MEAs that relate to the Union's vision. There is a common view that, even though the CBD may be a 'necessary evil', it is not a very effective one for achieving change on the ground, either in biodiversity conservation or in livelihoods. Perhaps part of IUCN's future role should be facilitating interactions between CBD and the other Conventions, and intensified efforts to help governments and societies to understand, contribute to and use this wider range of MEAs. Ramsar, the UNFCCC, CITES and the Convention on Combating Desertification were among the other agreements that our respondents mentioned, in addition to strengthening work on the WTO. Of course, the Union already works actively with many of these. A starting principle in any reappraisal of how IUCN

whole. Although we do not doubt that senior BPCD personnel had a clear view of the evolving issues and priorities, this did not translate into effective focus and direction for the programme.

IUCN considers, and we largely agree, that biodiversity has been effectively mainstreamed into its operations. This is one of the reasons why the BPCD was disbanded at the end of 2001. Largely for reasons outside the scope of this review, it has already been agreed that SDC will not fund a fourth phase of the GBP. Its future support for IUCN will take a different shape. In these circumstances, what sort of conclusions and recommendations is it most useful for us to make from this review?

We suggest that it may be helpful for us to sort the elements and ideas in the experience of GBP Phase III into four categories. We can identify aspects of this experience that should be maintained, developed and promoted. We can identify things that should be done differently if IUCN engages in similar programmes – for example, if it builds a new programme thrust around a different concern, such as poverty alleviation. We can also propose issues and approaches that need particular emphasis in such future work. Finally, we identify the need to assess the new programmatic options that may help to carry the achievements of the GBP and the BPCD forward. Throughout this review, we have found that the experience and challenges of the GBP are similar to those of IUCN as a whole. These conclusions and recommendations may also have a broader resonance for the organisation.

## **6.2. Maintain, promote, develop**

The programme has made important progress in promoting partnerships between RCOs, Commissions and global programmes. There is much more potential to be unlocked by building more such partnerships, although the logistics and cost of doing so can sometimes be daunting. Partnerships between RCOs are particularly valuable, as a way of countering the perceived northern bias of the IUCN Secretariat and of reinforcing IUCN's ability to act closer to some of the areas of greatest concern for biodiversity conservation and sustainable development.

The GBP has also recorded progress in promoting the vertical integration of the Union. Again, there is much more to be done, particularly in linking to work at national and local levels – exploiting, where they exist, the resources and commitment of IUCN country offices.

In its efforts towards decentralisation, IUCN should continue to seek that delicate balance between empowerment, delegation and direction. Although top-down approaches are seen to be politically incorrect, IUCN – like any decentralised organisation – needs a good balance between the top-down and the bottom-up.

This programme has been instrumental in substantial improvements to the way in which IUCN makes its own policy, in biodiversity and other fields. These achievements should be continued and developed, as part of an evolving strategy for IUCN's interactions with the increasing number of MEAs that are pertinent to its vision (section 6.3).

One of the most prominent achievements of the GBP has been IUCN's role and reputation in the CBD. Recognising that the framework of relevant MEAs is changing, IUCN should continue its support for the work of the CBD, taking care that its investment is focused and strategic. In particular, it should maintain and enhance the advocacy and advisory services that it offers to governments in this regard.

IUCN could enhance the effectiveness of its advocacy work by evolving its relationships with other conservation organisations, such as WWF, Greenpeace and BirdLife. However, such relationships must always allow for the particular character of IUCN's membership and constituencies, and will to some extent remain vulnerable to the changing capacities and priorities of these other organisations. Though not without risks, developing joint advocacy strategies and lobbying work plans with a range of such organisations could provide benefits to all involved, and contribute to achieving IUCN's advocacy objectives.

The GBF has been widely praised. Although GBP funding for IUCN secretariat services to the GBF will now come to an end, IUCN should maintain and develop its support for this important consultative mechanism. But it should not allow the GBF to become stale, or its administrative burden to become overwhelming, by attempting to support more than three GBFs each year.

### 6.3. Do differently

Despite the value of the partnerships and integration that the GBP promoted, it is clear that its approach to the budgetary management of multiple comparatively small projects should not be replicated. At the administrative level, it is important to ensure that the administrative burden does not become overwhelming, by attempting to support more than three GBFs each year.

*Just a good planning phase is not enough to guarantee delivery of a programme. Not enough to look just at administrative elements (money transferred, reports submitted, etc. – the mechanical part). The responsibilities for coordination, the networking and the distillation of lessons learned need to be there from day 1. That will help. A good M&E process throughout the length of the project. Also needed a communications process/strategy. M&E should not just be something that happens at the end.*

- Survey respondent

*The policy work of IUCN and other international organisations such as WWF, WRI and others is contributing immensely to*  
*s*

## **6.5. Innovations**

IUCN has been through much innovation in the last three years, as it developed its Intersessional Programme and made the necessary structural adjustments. It is not our role to make detailed recommendations for further change. But, however mainstreamed the concept may now be in IUCN, the GBP has not been the end of the story of the Union's action with regard to biodiversity. A new framework or structure may be needed to carry the achievements forward. It will be important for IUCN to consider the programmatic options, and to decide what the optimal configuration of roles for Commissions and global programmes will be for this purpose. For example, what is the best way to add value with the ecosystem approach? What are the best stance and strategy with regard to the CBD and other MEAs over the years to come? How best can IUCN act on the links between the natural environment and socio-economic processes that are central to the biodiversity approach it has promoted?

We assume that these and many related questions will be addressed in ongoing strategic review and structural innovation that build on the approaches, lessons and achievements of the GBP.



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

### **Background**

The following requirements will guide the design of the methodology and the scope of the review process:

Assess the extent to which the expected results of Phase III were achieved.

Describe and assess the relevance, and effectiveness of the partnerships created among Global Thematic Programmes of IUCN, with Commissions and with Regional Programmes in achieving these results in Phase III.

Describe the institutional influences and effects that have occurred in the IUCN Programme that can reasonably be associated with the Phase III work of the Global Biodiversity Programme.

Highlight programmatic and organisational lessons learned with regard to the approach that should be taken into consideration by SDC and IUCN.

A draft Evaluation Matrix with questions, sub-questions and data sources is presented in Annex II. This will be refined once the consultants are hired and the detailed data collection tools are developed.

### **Assumptions of the Review**

The Review takes the following statements as accepted and the Review will not reopen debate in these areas:

Biodiversity conservation, sustainable use and benefit-sharing are necessary foundations for sustainable development. This principle has been accepted by the Union, SDC and a vast majority of the world's governments in the Rio Process as well as in the Convention on Biological Diversity.

The Convention on Biological Diversity is an important mechanism for biodiversity and a useful vehicle to deliver IUCN's biodiversity policy work and experience.

Linkages and feedback loops between the global, national, and local levels are essential to adequately conserve biodiversity and to use biological resources in a sustainable and equitable manner. In many ways, biodiversity is most important at the local level. Experiences in its conservation and use at this level provide a wide range of options for decision- and policy-making. However, most national decisions/policies about biodiversity are still taken in urban centres at the national level, and many important decisions that affect biodiversity – such as trade, security, and development assistance – are taken at regional and global levels. Hence policy-practice feedback loops that are appropriately informed by science are essential.

IUCN has established itself as a scientific leader on biodiversity issues.

The processes, methodologies and findings of previous reviews are technically sound.

### **Methodological Aspects**

It is expected that this review will require: a thorough review of documents, including a synthesis of findings and recommendations of previous reviews; interviews with key IUCN Secretariat stakeholders at global, regional, national, and Commission level; interviews with key partners and beneficiaries in regions and at global level, and interviews with biodiversity-related Convention staff and interest groups.

The population and sample for data collection will be discussed and agreed with the IUCN Secretariat, SDC and the consultants to create a credible and useful study. This will include discussion on the breadth of the sample and the appropriate depth of the data gathering process to encourage insightful

and useful responses. In this context the consultants are expected to develop reliable and valid data gathering techniques in order to answer the key questions within the available budget. The work plan should be used as the mechanism to discuss the consultants' methodological approach to this review.

### Schedule, Reporting and feedback

Activity	Deadline
Final terms of reference	31 January 2002
Hire Consultants	31 January 2002
Finalise methodology and workplan	22 February 2002
Interviews:	
J Headquarters (Gland)	March-April 2002
J Regional interviews	March-April 2002
J Other stakeholders – (the Hague)	8-26 April 2002
Data gathering completed	15 May 2002
Data analysis completed	20 May 2002
Discussions regarding review findings With Review Steering Committee With Biodiversity Programme partners	30 May 2001
Draft review report to SDC and IUCN	15 June 2001
Feedback from SDC and IUCN	30 June 2001
Final report submitted	15 July 2001

### Experiences Required of the Consultant(s)

Substantial experience with international organisations  
In-depth working experience in the field of NRM  
Personal experience in some of IUCN partner countries

### Skills Required of the Consultant(s)

Evaluation design  
Data collection, interviews, focus groups, data analysis  
Report writing  
Knowledge of IUCN and the field of biodiversity  
Language - English  
Flexibility to travel to multiple regions for blocks of time

### Budget

The budget for the Review is not expected to exceed CHF100,000, including IUCN staff time and other costs as a direct result of participation in the review.

### Management of the Review

The Review is a Joint SDC-IUCN External Review.

The Review will be managed by the IUCN M&E Unit, external to the IUCN Biodiversity Programme.

Tasks of the M&E Unit will be – drafting TORs, contracting the consultants, overseeing the development of the methodology and tools, the Review process and reporting schedule.

SDC and IUCN will jointly agree on the following:

- The TORs, methodology and workplan for the Review
- The choice of consultants
- The budget
- The adequacy of the both the draft and final reports

## Annex 2. Evaluation matrix

Issue	Key questions	Sub questions	Sources
Performance	Effectiveness	What programme has done	Programme reports
		Programme participants' knowledge of outputs	Interviews with programme participants <sup>1</sup>
		Programme participants' use of outputs	
		Progress made towards objectives	Interviews <sup>2</sup>
		Extent to which IUCN's effectiveness in addressing biodiversity issues strengthened	
		Scientific quality	
		Policy quality	Interviews with programme participants
	Leverage of extra funds	Programme reports, interviews	
	Efficiency	Planning of operations	Programme reports, interviews at HQ, RCOs
		Monitoring of operations	
Cost effectiveness of operations			
Coverage	Coverage of KRAs	Programme reports	
	Differential effectiveness in KRAs	Programme reports, interviews with BPCD	
Approach	Relevance	Relevance of programme to global biodiversity priorities	Interviews with programme participants
		Relevance of programme to programme participants' biodiversity priorities	
	Partnerships	Who partnered whom	Programme reports, interviews with BPCD
		Character of partnerships	Interviews
		Accomplishments of partnerships, and effectiveness in contributing towards objectives	Interviews
	Linkages	What linkages	Programme reports, interviews with BPCD
		Effectiveness of vertical linkages in moving policy awareness and action in both directions	Interviews
		Effectiveness of policy-science-practice linkages	
	Planning and management of innovation	Relevance of support choices made	Interviews and reports
		Efficiency of support strategy (number and size of grants)	
	Institutional influences and effects	Have the planning procedures, systems and formats of this programme served as a positive or negative model for other parts of the IUCN Programme?	IUCN HQ and RCO staff, excluding BPCD
		Has the management of this programme served as a model for other parts of the IUCN Programme?	
		Has the programme been effective in enhancing IUCN policy making?	IUCN HQ and RCO staff
		Has the approach of this programme adequately strengthened the role and capacity of RCOs?	
		Has the approach of this programme promoted sustainable and useful partnerships between RCOs?	
		Has the programme achieved an appropriate balance between the roles and resources of HQ and RCOs?	
		Has the programme been effective in fostering integration within the Union?	
		Has the programme strengthened the role and capacity of Commissions?	IUCN HQ and RCO staff, Commissions
		Has the programme successfully mainstreamed biodiversity into the IUCN Programme?	Already answered at global level. Check RCO programmes.
		Have socio-economic concerns been successfully mainstreamed into the IUCN Programme?	Programme reports; HQ, RCO, Commission interviews
	How should IUCN structure its future relationship with the CBD?	IUCN HQ and RCO staff	

<sup>1</sup> 'Programme participants' are defined as everyone involved in the programme except BPCD staff.

<sup>2</sup> 'Interviews' without further specification means interviews with the full range of identified stakeholders.

### Annex 3. Questionnaire

#### SDC-IUCN Joint Review of the IUCN Global Biodiversity Programme, Phase III

SDC and IUCN are currently conducting an external review of Phase III of the IUCN Global Biodiversity Programme (2000-2002). The review will be based on analysis of the programme documentation and interviews with key partners and stakeholders. The review team consists of two consultants:

Stephen Turner ([sdturner@iafrica.com](mailto:sdturner@iafrica.com); tel: +31 20 444 9078) and  
Meg Gawler ([meg@artemis-services.com](mailto:meg@artemis-services.com); tel: +33 4 5040 7870).

A member of the review team will contact you to arrange an interview based on the following questionnaire. It may take you 20 minutes or more to answer the questionnaire, and we should count roughly an hour for the follow-up interview. It would be very helpful if you would fill out the questionnaire as fully as possible, and email it to both reviewers at least two days before your scheduled interview. We recognise that filling in answers to all 26 questions in detail may demand more time than you have. In that case, please answer as much as you can and email the questionnaire back. We will then follow up in more detail during the interview.

In addition to your summary assessments (provided by ticking the relevant boxes), we are particularly interested in your examples and commentary relating to each of the questions. Our main concern is to learn how you view and assess the IUCN Global Biodiversity Programme from the perspective of your programme's or organisation's work in the field of biodiversity. **Please limit your answers to address the work of the Global Biodiversity Programme during its current phase (Phase III), i.e., since January 2000.**

Your response will be kept strictly confidential. Information will be aggregated by stakeholder group, synthesised, and presented in a report to SDC and IUCN management.

Your views are extremely valuable for this exercise. We realise that your time is precious, and we thank you very much for your input to the review.

<i>IDENTIFICATION</i>		
Your Name		
Position		
Organisation		
Telephone		
Email		
Has your programme received funds from the IUCN Global Biodiversity Programme?	Yes	No

Global Biodiversity Programme P./MCID 158 0 0 10.98 98.46 183 y

**Phase III of the SDC/IUCN Global Biodiversity Programme had two broad objectives:**

A strong international biodiversity agenda with political and financial support is agreed and implemented.

Impacts on biodiversity especially from sectoral

4.





10. How effectively did Phase III of the Global Biodiversity Programme build vertical (local-national-regional-global) linkages in pursuit of its objectives? Give examples.

Don't know	<input type="checkbox"/>	Ineffective	Slightly effective	Somewhat effective	Quite effective	Highly effective
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12. Has Phase III of the Global Biodiversity Programme effectively strengthened Commissions with regard to their work on biodiversity?

Don't know	Ineffective	Slightly effective	Somewhat effective
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15. Has the approach of Phase III of the Global Biodiversity Programme effectively strengthened the RCOs with regard to their work on biodiversity?

Don't know	Ineffective	Slightly effective	Somewhat effective	Quite effective	Highly effective

Give examples:

16. Has the approach of Phase III of the Global Biodiversity Programme effectively strengthened other Global Thematic Programmes with regard to their work on biodiversity?

Don't know	Ineffective	Slightly effective	Somewhat effective	Quite effective	Highly effective

Give examples:

17. Do you consider that the objectives of Phase III of the Biodiversity Programme (a strong international biodiversity agenda, measures to respond to biodiversity threats) are now integral to your part of the IUCN Programme?

Don't know	Not at all	A little	Partly	Substantially	Entirely

In what ways?



21. Has the approach of Phase III of the Global Biodiversity Programme promoted effective partnerships between RCOs, i.e., partnerships that have helped achieve the objectives of the regional programmes?

Don't know	Ineffective	Slightly effective	Somewhat effective	Quite effective	Highly effective



#### **Annex 4. List of key informants**

<b>Last name</b>	<b>First name</b>	<b>Organisation / Unit</b>	<b>Stakeholder group</b>
Abu-Izzeddin	Faisal	WESCANA	R
Balakrishna	Pisupati	Asia RBP	R
Bertrand	Nick	Business, econ	G
Bracket	David	SSC, Canada W'life Service	



## **Annex 5. Phase III objectives and results**

### **GBP objectives**

1. Decisions and policies affecting biodiversity influenced by recommendations and guidelines provided, based on sound interdisciplinary scientific information
2. Governments, the scientific community and civil society have greater commitment to the conservation, sustainable use and management of biodiversity
3. Biodiversity-related agreements implemented in a synergistic manner
4. Integrated and effective biodiversity planning processes implemented by governments and relevant institutions
5. Governments and users have developed and implemented incentive measures and financial systems that support biodiversity conservation and sustainable use.
6. Governments and decision-makers have adopted measures to implement to ensure equitable and fair sharing of benefits derived from biodiversity use
7. Tools and methodologies for biodiversity assessment are developed and promoted to support the implementation of national and global biodiversity monitoring systems
8. The vulnerability of the world's ecosystems, species, and communities to climate change clarified
9. The options to strengthen capacity and management effectiveness to minimise the effects of, and adapt to, the effects of climate change identified.
10. Ecological, social, legal, institutional and economic issues related to carbon sequestration activities evaluated and assessed.

### **GBP intended results**

- 1.1 Analytical documents and technical evaluations prepared and advocated for key agreements, in particular: technical contributions to the CBD Secretariat for the preparation of technical papers on key issues.
- 1.2 IUCN Policy papers on priority issues at global, regional and national levels prepared and advocated for key CBD events
- 1.3 Regional and national preparatory meetings facilitated to prepare Parties and NGOs for CBD meetings. [RCOs]
- 1.4 Advice and policy support provided to biodiversity-relevant inter-governmental processes, including the UN General Assembly, the World Bank, the Global Environment Facility and the Commission on Sustainable Development.
- 1.5 Support provided to enhance national level capacities, especially of contracting Parties, to implement the different provisions of the CBD. [RCOs]
- 1.6 Emerging issues that affect biodiversity identified, such as biotechnology (including biosafety and the impacts of genetically modified organisms) and their relevance to the IUCN programme reviewed.
- 1.7 The capacity of IUCN Regional and Global programmes enhanced to enable them to contribute effectively to KRA2
  
- 2.1 Sessions of the Global Biodiversity Forum organized to enhance stakeholder participation and improve linkages between science and policy at regional and global levels. [RCOs]
  
- 3.1 Policy briefs prepared and advocated for meetings of key agreements, including CBD, CEC, CITES, WHC, Ramsar, CCD, FCCC, IWC, UNCLOS, WTO and CMS
- 3.2 Policy research on synergies between environmental agreements supported (ELC, RCOs)
- 3.3 Support provided for the implementation of synergistic approaches between agreements, particularly in relation to CBD, CCD, CITES, FCCC and Ramsar. [RCOs]

- 3.4 As a partner in the GISP, possible global mechanisms explored to strengthen the implementation of environmental instruments that have a mandate to work on invasive species (e.g., CBD, Ramsar, WHC). [ELC; SSC]
- 3.5 Support provided for the development of tools and policies on the linkages between biodiversity, climate change and restoration. [CEL, CEM]
- 3.6 Support provided to the regions to address the linkages between biodiversity, climate change and restoration. [CEM, SSEA, ORMA]
- 3.7 Technical inputs for the Intergovernmental Panel on Climate Change (IPCC) and legal analysis for the UN Framework Convention on Climate Change on climate change and biodiversity developed
- 3.8 Enhanced regional and national legal and institutional capabilities for implementation of UNFCCC in relation to biodiversity conservation
  
- 4.1 Experience shared and capacity built in the development and implementation of NBSAPs in particular: applying an ecosystem approach; integrating biodiversity into sectors; monitoring; incentives and financing; communications and sub-national planning. [EARO; ESU; CEC; CEM; SSEA; ROSA]
- 4.2 Implementation of national biodiversity strategies and action plans supported in several regions
- 4.3 Guidelines and tools prepared on the integration biodiversity concerns into sectoral planning (i.e., fisheries, tourism, agriculture, forestry, health, military). [RCOs]
- 4.4 The development and implementation of corporate biodiversity strategies by selected private sector institutions supported
  
- 5.1 Support provided to research and the development of methodologies and tools on funding mechanisms for CBD implementation and biodiversity conservation at national and regional levels. [ESU]
- 5.2 Support provided to governments to use new financing mechanisms to implement the CBD [ESU]
- 5.3 Support provided to research and the development of methodologies and tools on incentives for CBD implementation and biodiversity conservation at national and regional levels. [ESU]
- 5.4 Support provided to governments to use new incentive mechanisms to implement the CBD [ESU]
  
- 6.1 Support provided for the development of concepts, case studies and tools on sharing of benefits from biodiversity. [RCOs, SPP, CEL/ELP]
- 6.2 Support to capacity building of decision-makers to implement benefit-sharing measures provided
- 6.3 Support to policy development and advocacy on benefit-sharing in key fora provided [RCOs]
  
- 7.1 The development of indices of biodiversity health from the IUCN Red List of Threatened Species are supported. These indices will be used to contribute the biodiversity component to the Wellbeing Assessment Method. [SSC]
- 7.2 Tools developed to support the implementation of national, regional and global biodiversity monitoring systems and action plans beginning in Southern and Eastern Africa. [EARO; ROSA; MEP]
- 7.3 The biodiversity components of 'Wellbeing of Nations report' promoted within the CBD context, with a view to enhanced conservation measures being adopted by CBD Parties. [Monitoring and Assessment Programme; RCOs] – technical input provided
- 7.4 Support provided to the development and advocacy of policies and tools on biodiversity impact assessments [ESU, RCOs]
- 7.5 Support provided to the advocacy of policies and tools on BIA [ESU, RCOs]
  
- 8.1 Develop and refine tools for assessing the impact of climate change on biodiversity
- 8.2 Capacity of IUCN members to assess the impact of climate change on biodiversity built

- 8.3 Members assisted in designing and implementing monitoring and systems on the status and trends of ecosystem and species resiliency in relation to climate change
- 9.1 Analysis of the ecosystem approach as a response to climate change
- 9.2 Members and partners assisted to design methods to assess the effectiveness of protected areas in minimizing the impacts of, and adapting to, climate change
- 9.3 Members and partners assisted to develop and implement anticipatory climate change adaptation strategies using an ecosystem approach
- 9.4 Members and partners assisted in adopting and implementing policies and measures to address climate change adaptation
- 9.5 Regional networks of Governments, NGOs and private sector to promote an ecosystem approach as an integral response to climate change developed
- 10.1 Financial mechanisms and incentives for carbon sequestration





<b>KRA</b>	<b>KEG O</b>	<b>GBP Objective(s)</b>	<b>Expected Result(s)</b>	<b>Project</b>	<b>Project Code</b>	<b>Actual Budget</b>	<b>Expen- diture</b>	<b>Lead</b>	<b>Pro- gramme</b>
5.1	K	7. Tools and methodologies for biodiversity assessment	7.2 Tools developed to support the implementation of national, regional and global biodiversity monitoring systems and action plans beginning in Southern and Eastern Africa	Biodiversity assessment in the Southern African region	30	75,000	<b>73,837</b>	Kokwe	ROSA
5.7	G	7. Tools and methodologies for biodiversity assessment	7.4 Support provided to the development and advocacy of policies and tools on biodiversity impact assessments 7.5 Support provided to the advocacy of policies and tools on BIA	Biodiversity and Impact Assessment	31	75,000	<b>69,102</b>	Bagri	Economic s

<b>KRA</b>	<b>KEGO</b>	<b>GBP Objective(s)</b>	<b>Expected Result(s)</b>	<b>Project</b>	<b>Project Code</b>	<b>Actual Budget</b>	<b>Expenditure</b>	<b>Lead</b>	<b>Programme</b>
1.2	K	1. Decisions and policies influenced	1.5 Support provided to enhance national level capacities to implement the different provisions of the CBD	International Support for an African Protected Areas Initiative	23	55,000	<b>52,762</b>	Kisioh	EARO
1.5	E	1. Decisions and policies influenced	1.5 Support provided to enhance national level capacities to implement the different provisions of the CBD	Regional training workshop on Protected Area systems planning	3	51,000	<b>50,588</b>	Balakrishna	Asia
2.5	E	4. Biodiversity planning processes implemented	4.1 Experience shared and capacity built in the development and implementation of NBSAPs	Development of provincial BAP guidelines	7	55,000	<b>50,445</b>	Balakrishna	Asia RBP
3.6	G	5. Incentive measures developed and implemented	5.1 Support provided for funding mechanisms for CBD implementation and biodiversity conservation at national and regional levels 5.3 Support provided for incentives for CBD implementation and biodiversity conservation at national and regional levels	Regional Environmental Economics programme for IUCN Asia and Pakistan	9	86,000	<b>43,000</b>	Emerton	Asia

<b>KRA</b>	<b>KEGO</b>	<b>GBP Objective(s)</b>	<b>Expected Result(s)</b>	<b>Project</b>	<b>Project Code</b>	<b>Actual Budget</b>	<b>Expenditure</b>	<b>Lead</b>	<b>Programme</b>
2.6	G	1. Decisions and policies influenced	1.2 IUCN Policy papers on priority issues prepared and advocated for key CBD events 1.5 Support provided to enhance national level capacities to implement the different provisions of the CBD	Regional policy guidance on Sustainable Use of Biodiversity in Africa, Latin America, and Asia	33	40,000	<b>40,000</b>	Edwards / Barreto	SUI
1.5	G	1. Decisions and policies influenced	1.6 Emerging issues that affect biodiversity identified and their relevance to the IUCN programme reviewed.	Bushmeat Initiative	34	40,000	<b>40,000</b>	Baretto / Mainka	SUI + Species
5.1	K	7. Tools and methodologies for biodiversity assessment	7.1 The development of indices of biodiversity health from the IUCN Red List of Threatened Species are supported	Using the IUCN Red List to Develop Indicators on the Status and Trends of Biodiversity	35	34,000	<b>34,000</b>	Stuart / Mainka	Species
1.4	E	3. Biodiversity-related agreements implemented in a synergistic manner	3.4 Possible global mechanisms explored to strengthen the implementation of environmental instruments on invasive species	Alien invasive species in Meso-America	28	40,000	<b>30,488</b>	Lahmann	ORMA
5.6	E	7. Tools and methodologies for biodiversity assessment	7.1 The development of indices of biodiversity health from the IUCN Red List of Threatened Species are supported	Regional Red List Training Workshop	27	20,680	<b>30,000</b>	Lahmann	ORMA







<b>KRA</b>	<b>KEGO</b>	<b>GBP Objective(s)</b>	<b>Expected Result(s)</b>	<b>Project</b>	<b>Project Code</b>	<b>Actual Budget</b>	<b>Expenditure</b>	<b>Lead</b>	<b>Programme</b>
2.5	E	1. Decisions and policies influenced	1.6 Emerging issues that affect biodiversity identified and their relevance to the IUCN programme reviewed.	Building capacity to address Biosafety Issues and to Implement the Biosafety Protocol	5	2,500	<b>2,387</b>	Balakrishna	Asia
5.6	E	7. Tools and methodologies for biodiversity assessment	7.1 The development of indices of biodiversity health from the IUCN Red List of Threatened Species are supported	Strengthening the Red List Process as a Key Tool for Biodiversity Assessments in South and Southeast Asia	10	2,000	<b>1,940</b>	Balakrishna	Asia
1.4	E	3. Biodiversity-related agreements implemented in a synergistic manner	3.4 Possible global mechanisms explored to strengthen the implementation of environmental instruments on invasive species	Building capacity to address alien invasive species in Asia	2	2,500	<b>1,870</b>	Balakrishna	Asia
1.1	K	1. Decisions and policies influenced	1.1 Analytical documents and technical evaluations prepared and advocated for key agreements	Scoping biodiversity and agriculture: strategic development of IUCN's current and future work programme	25	45,000?	<b>0</b>	Wiseman	Europe

## **Annex 7. Annotated list of documents consulted**

### **Phase III project outputs:**

Balakrishna, P. 2001. *Agriculture and Biodiversity*. IUCN Regional Biodiversity Programme, Asia, Colombo, Sri Lanka. 68pp.

A discussion of agribiodiversity, with examples and case studies from Asia.

Balakrishna, P. Surangika, K.B.N.U. and Wijayanandana, N. (compilers). 2001. *Resource Kit for Biodiversity Planners*. IUCN Regional Biodiversity Programme, Asia, Colombo, Sri Lanka. 301+39pp.

Balakrishna, P. and McNeely, J. 2002. Agricultural biological diversity. IUCN recommendations to CBD COP6. 6pp.

A review of key issues, including: sustainable agriculture; the role, conservation and sustainable use of pollinators; the FAO International Treaty on Plant Genetic Resources for Food and Agriculture; biotechnology; and trade.

Carew-Reid, J. (ed.). Biodiversity Planning in Asia. IUCN Regional Biodiversity Programme, Asia, (CD ROM).

CBD, UNESCO and IUCN Commission on Education and Communication. 2002. Mainstreaming biological diversity: the role of communication, education and public awareness. 8pp.

A colour brochure that attempts to demonstrate the importance of Communications, Education, and Public Awareness (CEPA) achieving biodiversity conservation.

Chouchena-Rojas, M. 2000a. The Convention on Biological Diversity: a useful framework. *World Conservation 1/2000*: 6-7.

The paper argues that since the CBD's mandate and approach are so close to IUCN, and since it represents the agreement of most governments in the world, it presents a useful mechanism to carry out IUCN's mission and work programme.

Chouchena-Rojas, M. 2000b. Mission report: GBF15 and CBD COP5, Nairobi, Kenya, May 2000. IUCN, Gland, Switzerland. 33pp.

Chouchena-Rojas, M. 2001a. Mission report: SBSTTA6, Montreal, Canada, March 2001. IUCN, Gland, Switzerland. 23pp.

Chouchena-Rojas, M. 2001b. Mission report: SBSTTA7, Montreal, Canada, November 2001. IUCN, Gland, Switzerland. 17pp.

Chouchena-Rojas, M.. 2002. Mission report, CBD-COP6 / ICCP3; The Hague, Netherlands. 27pp.

De Poorter, M. 2002. Alien species that threaten ecosystems, habitats or species. IUCN information paper to CBD COP6. 5pp.

An explanatory note on terminology and definitions.

De Poorter, M. and Chouchena-Rojas, M. 2002. Alien species that threaten ecosystems, habitats or species. IUCN Recommendations to CBD COP6. 5pp.

IUCN urges the Parties to support a CBD work programme on invasive alien species, reach agreement on terminology, and adopt guiding principles on invasive alien species.

Edwards, S. and Chouchena-Rojas, M. 2002. Sustainable use: Progress on development of practical principles, operational guidance and associated instruments. IUCN Recommendations to CBD COP6. 4pp.

IUCN recommends encouraging all Parties to identify characteristics of sustainable use and tools and instruments that have proven effective, and recommends that the Secretariat develop a summary form for case studies on sustainable use.

Emerton, L. 2001. *The Use of Economic Measures in National Biodiversity Strategies and Action Plans: A Review of Experiences, Lessons Learned and Ways Forward*. IUCN Regional Environmental Economics Programme for Asia, Karachi. 84+pp.

A thematic review on the use of economics in NBSAPs, including guidance on the use of economic measures for biodiversity planning; experiences and best practices from national examples; ways forward in NBSAP planning and implementation; and the design of incentive measures.

Espinosa, M.F. and Chouchena-Rojas, M. 2002. Article 8(j) and related provisions. IUCN Recommendations to CBD COP6. 11pp.

Recommendations on strengthening the role of indigenous and local communities in the implementation of the CBD, including recommendations for cultural, environmental and

Issa, A. and Chouchena-Rojas, M. 2002. Biological diversity of dry and sub-humid lands. IUCN recommendations to CBD COP6. 4pp.

IUCN endorses the joint CBD-CCD programme of work, and urges firm commitments to support this, bearing in mind that these biomes have received less attention than other ecosystems.

IUCN. 2001b. The IUCN Red List of Threatened Species – a tool for monitoring biological diversity – implementation of Article 7 Identification and Monitoring: Recommendations to SBSTTA, March 2001, agenda items 3.2 and 5.1. 5 pp.

A presentation to SBSTTA of SSC's new goal to provide indices of the state of biodiversity (*see IUCN SSC 2000 below*) – a radical departure for the Red List Programme focusing on using the data in the Red List for multi-species analyses in order to understand what is happening to biodiversity in different taxonomic groups, in different regions and countries, in different biomes, and under different causal threats.

IUCN. 2001c. Carbon sequestration, biodiversity and sustainable livelihoods. Discussion paper. 8pp.

This paper analyses the forest-related provisions of the Kyoto Protocol to the UNFCCC for IUCN's Members and partners. IUCN seeks to ensure that the forest related provisions of the Kyoto Protocol will be consistent with efforts to conserve forests and to promote sustainable livelihoods, and urges the UNFCCC to ensure that any land use, land use change and forestry (LULUCF) activities undertaken to implement the convention are environmentally sound and lead to long-term benefits to the global climate. The paper delineates 16 useful criteria that the UNFCCC should adopt for LULUCF activities to be accepted towards a Party's obligations under the Kyoto Protocol. It discusses how managing carbon may require trade-offs with other ecosystem services, and advocates the ecosystem approach to balance climate change, biodiversity and social objectives.

IUCN BPCD. 2000. Supporting Global Action to Conserve Biodiversity and Sustainable Use of Biological Resources: Phase III – Workplan and Budget 2000-2001. Report to SDC.

IUCN BPCD. 2001. Supporting Global Action to Conserve Biodiversity and Sustainable Use of Biological Resources: Phase III – 2000 Technical Report; 2000 Financial Report; 2001-2002 Workplan and Budget. Report to SDC. 38pp.

IUCN BPCD. 2002. Supporting Global Action to Conserve Biodiversity and Sustainable Use of Biological Resources: Phase III – 2001 Technical Report; 2002 Workplan and Budget. Report to SDC. 55pp.

IUCN / FAO / TRAFFIC. (no date). Links between biodiversity conservation, livelihoods and food security: the sustainable use of wild meat. Communiqué of an IUCN/FAO/TRAFFIC workshop in Yaoundé, Cameroon. 7pp.

Results of a workshop on the sustainable use of wild meat in Central Africa, which developed a problem tree and a solutions table, to identify the main issues that need to be addressed together with specific action strategies.

IUCN Regional Biodiversity Programme Asia. 2002. Financing NBSAPs: options and opportunities. Draft. 45pp.

This toolkit was prepared in response to the real risk that NBSAPs will not be implemented in practice due to inadequate funding. It presents the conventional biodiversity funding mechanisms, 12 innovative financial mechanisms that could be used to finance NBSAPs, and sets out the steps in developing a financial strategy for financing NBSAP implementation.

IUCN RBP Asia. Resource Kit for Biodiversity Planners and Guide to Biodiversity Services (CD ROM).

IUCN RBP Asia. Biosafety Resource Kit: Information Pack for Planners and Practitioners of Biosafety (CD ROM).

IUCN / UNEP. (no date). Regional support for environmentally sound and socially equitable LULUCF activities under the CDM. 6pp.

Description of support to developing countries, via workshops and toolkits, to develop principles to guide the design and implementation of economically viable and environmentally sustainable land use, land use change and forestry (LULUCF) activities.

IUCN SSC. 2000. Biodiversity indicators workshop, May 2000, Long Island, NY. 33pp.

Report of a workshop population biologists and biomathematicians to agree on a set of indicators for the Red List Programme over the next four years. The workshop identified the characteristics of a good indicator, target audiences with different needs, documentation requirements for the Red List. Six types of indices were suggested:

1. Biodiversity status index, measuring the status of the world's biodiversity
2. Biodiversity knowledge index, measuring how much is known about the extinction risk
3. Biodiversity trend index (difficult to measure for a variety of reasons including natural population fluctuations)
4. Cause of threat index, based on a standardised list of causal threats
5. Conservation action index, measuring the extent to which conservation actions are in place for a given species, and
6. Spatial indices.

Martinet, C. 2000. Global Biodiversity Programme Phase III Workplan and Indicative Bglram93w173 T Tf,jETEstata

*Agricultural Policy and the Need for a New Global Deal*. Danish Society for the Conservation of Nature and DANCED, Copenhagen. pp 93-98.

This paper looks at the relationship between agriculture, biodiversity and rural poverty, and describes six key strategies for enhancing wild biodiversity through eco-agriculture. It argues that reform of Europe's Common Agricultural Policy should focus on building sustainable agriculture in Europe, conserving biodiversity, and addressing food security and poverty-alleviation in developing countries.

McNeely, J.A. , Mooney, H.A., L Neville, E., Schei, P. & Wagge, J.K. (eds.). 2001. *A Global Strategy on Invasive Alien Species*. IUCN, Gland, Switzerland. 50pp.

This global strategy, aimed at decision- and policy-makers, presents ten strategic responses to address the threats from IAS. It is a major output of Phase I of the Global Invasive Species Programme.

McNeely, J.A. & Scherr, S.J. 2001. *Common Ground, Common Future: How Ecoagriculture can Help Feed the World and Save Wild Biodiversity*. Future Harvest and IUCN, Washington D.C. 24pp.

This report is a summary of the full study to be published in 2002. It presents a number of farming innovations from around the world that demonstrate how ecoagriculture can be productive and profitable while protecting and enhancing biodiversity.

McNeely, J.A. & Vorhies, F. 2000. Economics and Conserving Forest Genetic Diversity. In Young,





Prescott-Allen, R. 1998. *Manual on Biodiversity Assessment*. IUCN, Gland, Switzerland. 43+pp.

Salafsky, N. and Margoulis, R. 1999. *Greater than the Sum of Their Parts: Designing Conservation and Development Programs to Maximise Results and Learning*. Biodiversity Support Program, Washington, DC, USA. 29pp.

## **Annex 8. Profile of the evaluation team**

### **Stephen Turner**

Stephen Turner works for the Centre for International Cooperation at the Vrije Universiteit Amsterdam. After training as a geographer at the Universities of Cambridge and London, he has worked as an applied social scientist on a wide range of environmental, agricultural/rural development and natural resource management issues, focusing on southern Africa. His experience covers policy work, project planning, monitoring and evaluation, resettlement projects, soil and water conservation, (community based) natural resource management, land reform, teaching and training, applied research planning and management, rural surveys and other field work, and data management.

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### **Meg Gawler**

Meg Gawler is the Founding Director of *ARTEMIS Services – for Nature Conservation and Human Development*, a consulting firm specifically for the conservation and development sector, specialising in evaluations, strategic planning, project and programme design, workshop facilitation, training, report preparation, photography, etc. Originally a plankton ecologist, Meg has done scientific research in both coastal and freshwater ecosystems. A dual national (American & French), she worked for over ten years in the Africa & Madagascar Programme of WWF International, and was active in fostering a culture of learning, strategic planning, and monitoring and evaluation. Meg holds a BSc in Conservation of Natural Resources, and an MSc in Applied Ecology, both from the University of California at Berkeley.

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