In association with BIODIVERSITY INTERNATIONAL Ltd

External Review of IUCN 2011

Final Report - Annexes

December 2011

List of Annexes

Annex 1 Terms of Reference

External Review of IUCN 2010-11

20 December 2010

Background

IUCN, International Union for Conservation of Nature was founded in 1948 as the world's first global environmental organization. It has more than 1,000 member organizations in 140 countries including 200+ government and 800+ non-government organizations. Today IUCN consists of the largest professional global conservation network, and is the leading authority on the environment and sustainable development with almost 11,000 voluntary scientists and experts, grouped in six Commissions. IUCN is a neutral forum for governments, NGOs, scientists, business and local communities to find pragmatic solutions to conservation and development challenges with thousands of field projects and activities around the world. IUCN is governed by a Council elected by member organizations every four years at the IUCN World Conservation Congress. The funding comes from governments, bilateral and multilateral agencies, foundations, member organizations and corporations. IUCN has an official Observer Status at the United Nations General Assembly.

External Reviews of IUCN have been undertaken since 1991 as a joint exercise of IUCN and its framework partners. A joint donor review takes place every four years prior to the Congress, and the final report is presented to the Congress for approval.

The External Review of 2007 identified the following main challenges for IUCN:

- **IUCN's governance structure** – everyone agrees that IUCN is a unique member organization. Although it is needed now more than ever, it is very unlikely that its bicameral governance structure could be created today. However, the relationships between its constituent parts - the membership, Commissions and secretariat – are suboptimal. IUCN continues to operate without effectively engaging its membership and the Council is seen as a less effective a governing body than is needed. The Union must become once again more than the sum of its parts;

- **Growth and decentralization of the Secretariat** – The rapid growth and decentralization of the secretariat has led to problems in a collaboration and communication across functional units and regional offices. A smaller organization can rely on informal networking and still function quite well but an organization that operates from more than 60 locations and has more than 1000 staff needs strong organization-wide systems and processes. These include clear accountability for who does what and who informs whom. IUCN lacks sufficiently clear and consistent systems and processes to manage the secretariat;

- **Financial resources** – IUCN has achieved impressive results with available resources but its current financial model is weak and unsustainable. IUCN derives at least 85% of its income from Overseas Development Assistance (ODA) funding through a limited number of OECD countries

and about 73% of its income is restricted to specific ODA funded projects. Only about 11% of income is unrestricted, including fees from its members;

- **External competition** – IUCN lacks some of the fundamental tools such as an effective Management Information System (MIS) and networking models to remain competitive in a rapidly changing external environment. To some extent it needs to reinvent itself if it is to retain its leadership as the voice for Nature and sustainable use of natural resources.

The 2007 evaluation suggested the following priorities:

PRIORITY ACTION 1 - Undertake a meta-review of all the reviews and strategies IUCN has done over this Intersessional Period and produce (1) an analysis of where they are mutually supportive and where they are inconsistent; (2) rationalize the recommended actions into an integrated and streamlined Action Plan 2009-2012 that will underpin the next IUCN Strategy; (3) produce an operational/business plan with agreed priorities based on sound financial analysis and (4) assign resources and specific responsibilities for achieving the different components of the plan.

PRIORITY ACTION 2 - Develop a new Membership Policy and Strategy that can guide IUCN's organizational evolution until 2020. Ensure that it is aligned with agreed actions arising from the Commission Review 2008 and that both are aligned with the next IUCN Strategy 2009-2020.

PRIORITY ACTION 3 - Use the IUCN Strategy 2020 and the Action/Business Plan 2009-2012 to develop an engagement process with the Framework Donors and potential new donors at a high level. The purpose would be to lay out the longer term vision for IUCN supported by clear business and operational plans to achieve the vision, and to make the case for special funding to strengthen IUCN's critical organizational systems in the short term.

PRIORITY ACTION 4 - Start to implement the change management process in the secretariat in 2008 and use it to demonstrate to members, Commissions and donors that the leadership of IUCN is committed to change and that change is possible.

The following achievements have been made as a result of the 2007 external review (IUCN to fill in):
- Operations: results based budgeting and planning enabled, tracking of Membership engagement through programme implementation completed twice, mapping of business processes completed as part of the Enterprise Resource Planning system;
- Constituency: Membership mapping exercise underway, Constituency Support Group reorganized, Congress Unit established and functioning;
- Programme: Secretariat reorganized to optimize delivery of the 2009-12 Programme, Programme and Policy Group, Programme and Operational Support Unit established, support systems such as the Project Appraisal System, Project Standards and Guidelines and Private Sector Guidelines and

Online Tool established or underway, Network Approach enabled to support Programme delivery.¨

Challenges Remaining:
- **Membership mapping exercise** – leading to revised Constituency Engagement Strategy
- **Enterprise Resources Planning system** – covering a range of business processes and activities under the management response
- **Strengthening core capacities** – covering enhancements to policy influencing and knowledge management; and other core capacities
- **Finalization of programme and project guidelines and standards** – to strengthen the project portfolio, M&E, policy influencing, theories of change

Of the four, completion of the Enterprise Resource Planning will unlock completion of all of the recommendations of the 1997 External Review.

The External Review of IUCN is broadly intended for the following purpose:

- Re-affirm the value of IUCN, its organizational change pathway and innovations in the IUCN niche, value proposition and Programme;

- Provide IUCN's framework partners with a means to verify the relevance and effectiveness of IUCN as a means of delivering aid for conservation and improved livelihoods, enabling them to justify continued investment in IUCN;

Identify priority areas for change within IUCN and in the relationship between IUCN and its framework-partners.

The timing of the External Review is intended to serve the needs of the framework partners in their internal discussions regarding IUCN, and for IUCN, to inform the development of the 2013-16 Programme.

Commissioning Authority and Intended Users

The External Review of IUCN is jointly commissioned by the Director General of IUCN and the framework partners as a condition of the framework agreements providing funding to IUCN.

The framework partners intend to use the results of the External Review to inform discussions internally in their agencies on the future support to IUCN. The Director General of IUCN will use the results of the External Review to continue the organizational development and change process at IUCN and refine the Programme.

Oversight and Management of the External Review of IUCN

Oversight of the External Review is provided by a Steering Committee of two Senior Managers drawn from IUCN appointed by the Director General and two framework partner representatives nominated by the group of framework partners.

The Steering Committee's overall role is to provide oversight and approvals at each stage in the External Review process, including the options paper, the Terms of Reference, the choice of the External Review Team, the inception note (including workplan and budget), the draft report and the final report. The Steering Committee will be updated by the External Review Team via conference call and/or email once every six to eight weeks to ensure that the Steering Committee is well informed on the process of conducting the External Review.

On a day to day basis, the Director General has appointed the Head, Programme Cycle Management to manage the External Review process, including budgets, contracts, payments, logistics, and document supply and scheduling.

Objectives of the External Review of IUCN

The specific **objectives** of the External Review of IUCN are:

1. In view of the results achieved from the follow-up of the latest review to assess the extent to which IUCN has managed to optimize its organizational model in order to create a more effective and efficient organization;

2. To assess the continued niche and relevance and effectiveness of delivery of the IUCN Programme

3. To assess IUCN's approach to implementation through partnerships with stakeholders at various levels including to assess the effect of enhanced membership engagement, and national and regional membership structures on the effectiveness, efficiency and sustainability of the IUCN Programme.

Scope, Approach, Methodology and Outputs

This section is intended to focus the objectives of the review by describing the focus the Steering Committee is recommending that the External Review Team consider with some suggested methods for capturing data. The description in this section is also intended to ensure that the scope of the Review Team's investigation does not exceed what is feasible.

It is expected that the External Review team will use or propose modifications to this section, the HOW, as the substantive basis in their inception note.

1.   **In view of the results achieved from the follow-up of the latest review to assess the extent to which IUCN has managed to optimize its organizational model in order to create a more effective and efficient organization in the context of the current business model**

The scope should include, but not be limited to:

1.1 Assess the systematic follow-up to the latest review, including assess the response to the review and the progress on specific follow-up actions;

1.2 Assess the changes to IUCN strategies and programmes, and to general management as well as planning, budgeting, implementation, monitoring, evaluation, and reporting:

1.3 **Assess** the IUCN Programme monitoring and evaluation system

1.4 Assess the effect the current business model has had on IUCN's ability to optimize its organizational model in order to create a more effective and efficient organization, including:

   1.4.1 Assess the changes in internal communication and interaction;

   1.4.2 Assess the value-for-money and cost-efficiency of IUCN activities;

   1.4.3 Assess IUCN's performance in relation to the aid effectiveness agenda.

2.   **To assess the continued niche and relevance and effectiveness of delivery of the IUCN Programme:**

The scope should include, but not be limited to:

2.1 Assess the value proposition of IUCN *vis-a-vis* other organizations and in the context of global development since the last review;

2.2 Assess the ability to influence decision makers at various levels in specific agreed instances, and assess the external strategic partnerships and outreach to target groups;

2.3 Assess the delivery of the IUCN Programme through its regional offices including relevance to local needs and donor objectives in specific agreed instances, and

To assess IUCN's approach to implementation through partnerships with stakeholders at various levels including to assess the effect of enhanced membership engagement, and national and regional membership structures on the effectiveness, efficiency and sustainability of the IUCN Programme The scope should include, but not be limited to:

3.1 Assess the actual or proposed development in membership and marketing strategies, and

3.2 assess the responsiveness to demands from members;

3.3 Assess the conduciveness of the current or proposed governance structures;

Methodology

The methodology will include a combination of the following:

- Surveys, semi-structured interviews and dialogues with key IUCN stakeholders, including Members, partners, donors, staff, and in particular beneficiaries of IUCN programmes and projects

- Review of relevant documentation, in particular project documentation (proposals, plans, technical reports, monitoring data, donor reports, etc.), programme documentation (IUCN programmes, components programme documents, progress and assessment reports, monitoring reports, Technical documents, etc.), the review of IUCN's influence on policy, the IUCN performance assessment outcomes, the IUCN regionalization and decentralization review and other relevant evaluations and documentation.

- Field visits to selected project sites for the purpose of interviewing stakeholders, partners, donors and beneficiaries, and observing project conditions.

Qualifications of the Review Team

Members of the Review team will be external to both IUCN and the donors and will be mutually agreed upon by IUCN and its framework donors. The Review Team will be selected by a limited tender under IUCN rules and procedures. The profile of the Review team members will be senior professionals with specific expertise in the field of conservation and sustainable development at global and regional levels.

Specific attributes required of the Review team include:

- Documented experience undertaking evaluation covering both (a) conservation and development issues and (b) organizational and management issues;
- Experience and ability to review conservation and sustainable development programmes and projects, undertake poverty and gender analysis, review policy work;
- Demonstrated experience in applying institutional or organizational assessment methods in the context of large, decentralized organizations working in either the conservation or development sectors;
- Experience in undertaking evaluation work globally
- Considerable familiarity with IUCN and similar organizations.

The review leader is responsible for the management and conduct of the Review and review team members, for the quality and credibility of the review process, including the design of the methodology and tools, data collection, analysis and reporting, as well as for the submission of the Final External review Report to IUCN Council.

Outputs

The consultancy will include the following outputs:

- An inception note, which interprets the TOR, and describes the approach and methodology of the review, table of contents of the study report, etc consisting of no more than 20 pages

- A review report, with background information in annexes, providing an overview of the findings in accordance with the scope of work. The main review report shall not exceed 60 pages exclusive of annexes

- A verbal briefing when delivering the inception report through a conference call, as well as presenting the draft final report. Final report to be presented at a donor meeting

Timeline and Deliverables

The timeline and deliverables are proposed as follows, noting that adjustments may be necessary due to currently unforeseen circumstances.

Process	Deliverable	Expected due date	Approval
Inception of the External Review	Inception Note including detailed budget and work plan	Two weeks after engagement, based on proposal responding to the Request for Proposals	Steering Committee
Data collection/ report writing		January – May 2011	
Updates		January 2011 and April 2011	
Draft report	Draft report	May 2011	Steering Committee
Final report	Final report	June 2011	Steering Committee

External Review Matrix

Based on Draft Terms of Reference, 29 November 2010

Area	Question	Sub-question	Indicator	Data source/ analysis
Progress since the last External Review	To what extent has IUCN managed to optimize its organizational model to create a more effective and efficient organization?	To what extent have the recommendations of the 2007 External Review been effectively implemented?	1. Percentage of recommendations fully implemented	1. Management response tracking tool, interviews
		What recommendations have not been effectively implemented? Why?	1. Barriers to implementation	1. Interviews
		What factors have promoted or inhibited the effective implementation of the recommendations of the external review?	1. Positive and negative factors	1. Interviews and analysis of above
		To what extent have changes to IUCN's strategies, programmatic approach (including value proposition), organizational structure and general management (including planning, budgeting, implementation, etc) contributed to the optimization of effectiveness and efficiency?	1. Perception 2. New systems to improve effectiveness and efficiency 3. Increase in visibility of IUCN (total media mentions, unique web visits)	1. Interviews 2. Document review and interviews 3. Communications data related to total media mentions
		To what extent has the systems underpinning planning, monitoring and evaluation led to effective planning, reporting and evaluation?	1. Quality of planning documents 2. Quality and coverage of reporting and evaluations	1. Document review and interviews 2. Document review and interviews
		To what extent have changes in internal communications contributed to improvements in effectiveness and efficiency?	3. Perception of improvement 4. Measures in place to improve communication – both technological and cultural 5. Effect of the network	3. Interviews 4. Document review and interviews 5. Document review and interviews

Area	Question	Sub-question	Indicator	Data source/ analysis
			approach	
Area	Question	Sub-question	Indicator	Data source/ analysis
Progress since the last External Review, *continued*		To what extent is IUCN considered good value for money and cost effective?	1. Perception/ comparative perception (relative to other, similar organizations)	1. interviews
		How does the current business model contribute to the optimization of the organizational model, effectiveness and efficiency?	1. Extent of restricted vs. unrestricted funding 2. Variance in cost recovery (e.g. direct costs, management fees) 3. Diversity of donor base 4. Examples of constraints	1. Financial reporting 2. Financial reporting 3. Financial reporting 4. interviews
		To what extent has IUCN been successful in contributing to the aid effectiveness agenda? What factors prevent IUCN from effectively contributing?	1. Contributions to specific parts of the Paris Declaration and Accra Agenda for Action 2. Extent to which variance in the donor approaches to aid coherence affect IUCN's performance[1]	1. Document review and interviews 2. Document review and interviews
		As an overall assessment, based on the entire review, to what extent has IUCN managed to optimize its organizational model?	1. Factors that optimize or de-optimize the overall model	1. Interviews and analysis

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[1] This question aims to uncover the extent to which the donors approach development and environment different, use different systems for planning, budgeting and reporting and other measures that tend to reduce aid coherence.

Area	Question	Sub-question	Indicator	Data source/ analysis
Niche, relevance and effectiveness of delivery	How relevant and effective is IUCN's Programme?	How relevant is the Value Proposition to the constituency of IUCN?	1. Perception of relevance	1. Constituency perspective (survey or interviews)
		How appropriate is the Value Proposition in the context of global development?	1. Perception of relevance	1. Donor perspective (interviews)
		How does IUCN's value proposition compare with that of other, similar organizations?	1. Comparison	1. Comparative analysis
	To what extent has IUCN been effective in influencing policy and decision makers in specific instances? [2]	In what ways has IUCN been effective?	1. Degree of fit between positions and policy 2. Degree of satisfaction of stakeholders benefiting from IUCN's technical advice 3. Increase in visibility of IUCN (total media mentions, unique web visits)	1. Document review and interviews 2. Interviews with outside stakeholders (Parties to conventions, targets of policy influence) 3. Communications data related to total media mentions
		What are the factors of success and key challenges in these cases?	1. Key factors 2. Key challenges	1, 2 Analysis based on above

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[2] Policy influencing potential cases (to be discussed and developed further):

1. Convention on Biological Diversity: recently, IUCN has considerable influence (documented) on the CBD Strategic Plan and targets, POWPA, the ABS protocol and the financing strategy. In addition to degree of fit between positions and outputs, there are also positive indicators on perception of usefulness (Parties = would need some interviewees), press coverage (talk to Communications).

2. Convention on the International Trade of Endangered Species (CITES): IUCN provides the Analyses (proper name) to the Parties for use in decision making. Past evaluation evidence suggests that the Parties value the Analyses, but the question is: to what extent are the Analyses creating favourable results for species under threat of international trade?

3. UN Framework Convention on Climate Change: at COP 15 and COP 16, IUCN has been pushing an agenda on REDD+, Ecosystem-based adaptation, ocean acidification and gender. The review could look at degree of fit, perception of usefulness of technical advice and press coverage as three key indicators of success.

4. Other cases to be identified with the Review Team

Area	Question	Sub-question	Indicator	Data source/ analysis
Niche, relevance and effectiveness of delivery, *continued*	To what extent have IUCN Regional Offices been effective in helping deliver conservation results and policy influencing?	To what extent are the (selected) IUCN Offices relevant to local needs?	1. Degree of fit with donor orientation 2. Degree of fit with local needs	1. Document review and interviews with donors 2. Document review and interviews with local stakeholders – Members, government partners
		In what ways has IUCN been effective in delivering conservation results and policy influencing through Regional Offices?	1. Case examples	1. Based on reporting, technical project reports, interviews with stakeholders
Membership engagement	To what extent has IUCN successfully engaged the Membership directly and through National and Regional Committees?	What policies or strategies have been developed to enhance Membership engagement?	1. Policy coverage (within Secretariat)	1. Document review and interviews
		What are examples of good practice in engaging the Members?[3]	1. Case examples	1. Based on analysis under Objective 2 and interviews
		How responsive is the Secretariat to the requests of the Membership?	1. Extent of responsiveness	1. Interviews (sampled)
		What changes or proposed changes to governance structures will or do enable Membership engagement?	1. Policy coverage (within governance structure – e.g. within Council, Statutes)	1. Document review and interviews
		What are the factors that encourage or discourage Membership engagement?	1. Case examples	1. Based on analysis above and interviews

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[3] The review could draw from cases under policy influencing and delivery via Regional Offices to assess Membership engagement, as this would cover both engagement through policy work and engagement through field projects.

Annex 2   People Met

First name	Family name	Organisation	Role	Interviewer / Date / Mode
Kate	Studd	WWF	Impact and Learning Officer	RG – 07/03/11 – tele
Yves	Renard	Green Park Consultants	Director	RG – 07/03/11 – tele
Alex	Moiseev	IUCN	Head, Programme Cycle Management Unit	Core Team – 10/03/11 - FtF
Lucy	Derham-Rollason	IUCN	Head, Strategic Partnerships	Core Team – 15/03/11 - FtF
Giuditta	Andreaus	IUCN	Philanthropy Officer	Core Team – 15/03/11 - FtF
Julie	Wyman	IUCN	Chief Information Officer	Core Team – 15/03/11 - FtF
Julia	Marton-Lefevre	IUCN	Director General	Core Team – 15/03/11 – FtF and tele
Poul	Engberg-Pedersen	IUCN	Deputy Director General	Core Team – 24/05/11 - FtF
Stewart	Magginis	IUCN	Global Director, Environment and Development Group	Core Team – 16/03/11 - FtF
Juan Marco	Alvarez	IUCN	Global Director, Economy and Environmental Governance Group	Core Team – 16/03/11 - FtF
Valerie	Spalding	IUCN	Operations Officer	Core Team – 16/03/11 - FtF
Jean-Yves	Pirot	IUCN	Head, Programme and Operational Support Unit	Core Team – 16/03/11 - FtF
Sebastian	Semene Guitart	IUCN	Coordinator, Programme and Operational Support Unit	Core Team – 16/03/11 - FtF
Josephine	Langley	IUCN	Network Coordinator, Conserving Biodiversity Core Programme Area	Core Team – 16/03/11 - FtF
Lynda	Mansson	MAVA Foundation	Director General, MAVA Foundation	Core Team – 16/03/11 - FtF
Rod	Abson	IUCN	Knowledge Management Officer, Science and Knowledge Management Unit	Core Team – 16/03/11 - FtF
Hans	Friedrich	IUCN	Regional Director, Regional Office for Pan-Europe	Core Team – 17/03/11 - FtF
Susanna	Sodestrom	IUCN	Regional Constituency Coordinator, Regional Office for Pan-Europe	Core Team – 17/03/11 - FtF
John	Kidd	IUCN	Head of Global Communications	Core Team – 17/03/11 - FtF
Ashok	Khosla	IUCN	President	Core Team – 17/03/11 - FtF
Christian	Vonarburg	IUCN	Human Resources. Officer, Human Resources Management Group	Core Team – 17/03/11 - FtF
Mike	Davis	IUCN	Chief Financial Officer	Core Team – 17/03/11 - FtF
Line	Hempel	IUCN	Head, Budget and Financial Planning	Core Team – 17/03/11 - FtF
Ninni	Ikkala	IUCN	Climate Change Coordinator	Core Team – 17/03/11 - FtF
Georgina	Peard,	IUCN	former Coordinator, Ecosystems and Human Well-being	Core Team – 17/03/11 - FtF

First name	Family name	Organisation	Role	Interviewer / Date / Mode
Sue	Mainka	IUCN	Head, Science and Knowledge Management Unit	RG & UB – 22/03/11 - FtF
Diego	Ruiz	IUCN	Global Director, Human Resources Management Group	RG & UB – 22/03/11 - Skype
Sajiid	Ali	IUCN	HR Officer, Human Resources Management Group	RG & UB – 22/03/11 - FtF
Estelle	Viguet	IUCN	HR Officer, Human Resources Management Group	RG & UB – 22/03/11 - FtF
Diana	Paredes	IUCN	Programme Officer Programme Cycle Management Unit	RG – 22/03/11 – FtF
Cyrie	Sendashonga	IUCN	Global Director, Programme and Policy Group	RG & UB – 23/03/11 - FtF
Luc	De Wever	IUCN	Governance Officer, Constituency Support Group	RG & UB – 23/03/11 - FtF
Enrique	Lahmann	IUCN	Global Director, Constituency Support Group	RG & UB – 23/03/11 - FtF
Véronique	Zucher	IUCN	Membership Governance Officer, Constituency Support Group	RG & UB – 23/03/11 - FtF
Nicole	Gooderson	IUCN	Communications Officer, Constituency Support Group	RG & UB – 23/03/11 - FtF
Tiago	Pinto-Pereira	IUCN	Constituency Support Group	RG & UB – 23/03/11 – FtF
Christian	Vonaburg	IUCN	Human Resources Officer	RG & UB – 23/03/11 – FtF
Sean	Doolan	Climate Change Advisor	DFID Ghana	RG & DP – 14/04/11 - FtF
Xenya	Cherny-Scanlon	IUCN	Special Assistant to the DG	Core Team – 24/05/11 - FtF
Jeffrey	McNeely	IUCN	Senior Scientific Advisor	SN - 16/3/11 – FtF
Kevin	Lyonette	WWF International	Senior executive retired	SN - 16/3/11 – FtF
Simon	Stuart	IUCN	Chair species survival commission	SN - 28/3/11 - Phone
Ed	Barrow	IUCN	Coordinator, ESARO	SN – 4/5/11 – FtF
Sophie	Kutegeka	IUCN	Programme Officer Uganda	SN – 4/5/11 – Phone
Hamza	Sadiki	PRBMP	Partner Tanzania	SN – 4/5/11 – Phone
Kikki	Nordin	Swedish Embassy	Donor, Counsellor	SN, RG, UB – 5/5/11 – FtF
Stephen	Twomlow	GEF	Senior programme manager	SN – 5/5/11 – FtF
Conrado	Heruela	GEF	Task Manager	SN – 5/5/11 – FtF
Simon	Carter	IDRC	Regional Director	SN – 5/5/11 – FtF
Taye	Teferi	WWF	Programme Director	SN – 6/5/11 – FtF
James	Njogu	KWS	Head of conventions	SN – 6/5/11 – FtF
Margaret	Otieno	WCK	CEO	SN – 6/5/11 – FtF
Holly	Dublin	Commission	Senior Advisor	SN – 6/5/11 – FtF
Charles	Musyoki	Commission	Senior Advisor	SN – 6/5/11 – FtF
Spencer	Thomas	IUCN	FAC Council Member	RG – 23/05/11 - email
Hilary	Masundire	IUCN	FAC Council Member	RG – 23/05/11 – email
George	Greene	IUCN	Governance / FAC / Bureau Council Member	RG – 23/05/11 – FtF
Miguel	Pellerano	IUCN	Constituency Committee Council Member	RG – 23/05/11 – FtF

First name	Family name	Organisation	Role	Interviewer / Date / Mode
Robin	Yarrow	IUCN	PPC / Bureau Council Member	RG – 23/05/11 – email
Piet	Wit	IUCN	Bureau Council Member	RG – 23/05/11 – email
Brendan	Mackey	IUCN	PPC Council Member	RG – 23/05/11 – email
Hans	De Iongh	IUCN	PPC Council Member	RG – 23/05/11 – FtF
TP	Singh	IUCN	Dy Director ARO	SN - 10/05/11 – FtF
JS	Rawat	IUCN	Country Director India	SN - 10/05/11 – FtF
NM	Ishwar	IUCN	Project officer	SN - 10/05/11 – FtF
MF	Farooqui	MoEF India	Add Sec.	SN - 10/05/11 – FtF
J	Kishwan	MoEF India	Add DG Forests	SN - 10/05/11 – FtF
Hem	Pande	MoEF India	Joint Sec	SN - 10/05/11 – FtF
BMS	Rathore	MoEF India	Joint Sec	SN - 10/05/11 – FtF
AK	Srivastava	MoEF India	Inspector General Forests	SN - 10/05/11 – FtF
JR	Bhatt	MoEF India	MFF focal point	SN - 10/05/11 – FtF
Senthil	Vel	MoEF India	Coastal management	SN - 10/05/11 – FtF
Rajesh	Gopal	MoEF India	Global Tiger Forum	SN - 10/05/11 – FtF
Dr	Misra	TERI	Project Officer	SN - 11/05/11 – FtF
Subrata	Mukherjee	WB FD	MFF focal point	SN - 11/05/11 – FtF
Dr	Vijaylakshmi	Development Alternatives	Vice President	SN - 11/05/11 – FtF
Sudipto	Chatterjee	Wildlife Trust of India	Member	SN - 11/05/11 – FtF
Prabhot	Sodhi	CEE	Member	SN - 11/05/11 – FtF
Sanjay	Upadhay	Enviro defence	Member	SN - 11/05/11 – FtF
Kinsuk	Mitra	Winrock	Member	SN - 11/05/11 – FtF
Neeraj	Khera	GIZ	Member	SN - 11/05/11 – FtF
KR	Viswanathan	SDC	Donor	SN - 12/05/11 – FtF
Gerolf	Weigel	SDC	Donor	SN - 12/05/11 – FtF
Ramesh	Jalan	UNDP	Donor	SN - 12/05/11 – FtF
Preeti	Soni	UNDP	Donor	SN - 12/05/11 – FtF
Ms	Lianchawii	UNDP	Donor	SN - 12/05/11 – FtF
Sirishi	Indukuri	TERI	Member	SN - 13/05/11 – FtF
G	Kumar	Care	Member	SN - 13/05/11 – FtF
Seema	Bhatt	Independent	Commission member	SN - 13/05/11 – FtF
Sejal	Worah	WWF	Member	SN - 14/05/11 – FtF
Manoj	Dabas	Aravali Foundation	Member	SN - 14/05/11 – FtF
Aban	Kabraji	IUCN ARO	Director	SN - 16/05/11 – FtF
Michael	Dougherty	IUCN ARO	Communications	SN - 16/05/11 – FtF
Anshuman	Saikia	IUCN ARO	Programme support	SN - 16/05/11 – FtF
Ganesh	Pangare	IUCN ARO	Water and wetlands	SN - 16/05/11 – FtF
Shiranee	Yasaratne	IUCN ARO	Business and biodiversity	SN - 16/05/11 – FtF
Hag Young	Heo	IUCN ARO	Protected areas	SN - 16/05/11 – FtF
Zakir	Hussain	IUCN ARO	Advisor	SN - 17/05/11 – FtF
Syed	Hasan	IUCN ARO	Operations	SN - 17/05/11 – FtF
Patricia	Moore	IUCN ARO	Environmental law	SN - 17/05/11 – FtF
Rumana	Imam	IUCN ARO	HR	SN - 17/05/11 – FtF
Nicholas	Rosellini	UNDP	Donor	SN - 18/05/11 – FtF
Delphine	Brissoneau	EC	Donor	SN - 18/05/11 – FtF
Chatri	Moonstan	Norway	Donor	SN - 19/05/11 – FtF
Ola	Moller	SIDA	Donor	SN - 19/05/11 – FtF
Don	Macintosh	IUCN ARO	MFF	SN - 19/05/11 – FtF
Udomsak	Sinthipong	Commission	CEL	WS - -20/5/11 - FtF
Yosapong	Temsirapong	Commission	SSC	WS - -20/5/11 - FtF
Jira	Jintanugool	Commission	CEL	WS - -20/5/11 - FtF
Piyathip	Eawpanich	Commission	CEL	WS - -20/5/11 - FtF
Yam	Malla	RECOFTC	Member	WS - -20/5/11 - FtF
Mary Beth	West	IUCN	Director, US Office	DP – 20/05/11 - FtF
Consuelo	Espinosa	IUCN	Senior Forest and Climate Change officer,	DP – 20/05/11 - FtF

First name	Family name	Organisation	Role	Interviewer / Date / Mode
			US Office	
Durk	Adema	Ministry of Foreign Affairs, Netherlands	IUCN Framework Donor	DP – 09/06/11 - telephone
Flemming	Winther Olsen	Danish Ministry of Foreign Affairs, DANIDA	IUCN Framework Donor	DP – 09/06/11 - telephone
Gilles	Kleitz	French Development Agency (AFD)	IUCN Framework Donor	Core Team – 13/06/11 - FtF
Johanna	Palmberg	Swedish International Development Cooperation Agency (SIDA)	IUCN Framework Donor	Core Team – 13/06/11 - FtF
Jorge D	Cabrera.	Secretary General CCA	IUCN Partner	DP & AI – 14/05/11 - FtF
Marco Vinicio	Cerezo	FUNDAECO	NGO member & Mesoamerican RMC & Guatemala NM	DP & AI – 14/05/11 - FtF
Pedro	Alvarez Icaza	CONABIO	Mexico NGO member	DP & AI – 14/05/11 - FtF
Martha,	Rosas Hernandez,	CONABIO	Mexico NGO member	DP & AI – 14/05/11 - FtF
Mario	Peña	CEL	Commission member	DP & AI – 14/05/11 - FtF
Dr Jorge,	Jiménez –	Former Regional Vice-chair of CEM	Commission member	DP & AI – 14/05/11 - FtF
Dr Alejandra	Sobenes,	Former Vice-Minister of Environment, Guatemala, CEL	Commission member	DP & AI – 14/05/11 - FtF
Gerardo	Porras.	Banco Popular Costa Rica	IUCN Partner	DP & AI – 14/05/11 - FtF
Andrés Mónica	Villalobos Gutiérrez	HOLCIM Costa Rica	IUCN Partner	DP & AI – 14/05/11 - FtF
Nelson. CR	Vanegas	FECATRANS Costa Rica	IUCN Partner	DP & AI – 14/05/11 - FtF
Carlos Manuel	Rodríguez	Vice President Conservation International,	IUCN Partner	DP & AI – 14/05/11 - FtF
Thomas	Nielson	Regional Programme Advisor, Danida Guatemala	IUCN Partner	DP & AI – 14/05/11 - FtF
Jorge	Cabrera	Secretary General CCAD Costa Rica	IUCN Partner	DP & AI – 14/05/11 - FtF
Maximiliano	Campos Ortiz	Organisation of American States, Costa Rica	IUCN Partner	DP & AI – 14/05/11 - FtF
Jorge	Polimeni	Asociación Bandera Ecológica, Costa Rica	Chair of IUCN National Committee	DP & AI – 14/05/11 - FtF
Jorge	Jimenez	MarViva, Costa Rica	former Regional Vice-chair of IUCN CEM CR	DP & AI – 14/05/11 - FtF
Dr Andrei	Bourrouet	Minister of Environment,	State Member	DP & AI – 14/05/11 -

First name	Family name	Organisation	Role	Interviewer / Date / Mode
		Costa Rica		FtF
Melissa	Pineda	FUDEU:, Costa Rica	NGO member	DP & AI – 14/05/11 - FtF
Alberto	Chinchilla	ACICAFOC, Costa Rica	NGO member	DP & AI – 14/05/11 - FtF
Randall INBIO: Costa Rica	Garcia	National Biodiversity Institute, Costa Rica	NGO member	DP & AI – 14/05/11 - FtF
Randall	Arauz	PRETOMA, Costa Rica	NGO member	DP & AI – 14/05/11 - FtF
Juan Mario	Dary	FUNDARY	Chair of the IUCN Regional Committee Guatemala	DP & AI – 14/05/11 - FtF
Luis:	Castillo	Defensores de la Naturaleza, Guatemala	Chair of the IUCN National Committee	DP & AI – 14/05/11 - FtF
Ramón Pérez	Gil Salcido	FAUNAM	Chair of the IUCN National Committee Mexico	DP & AI – 14/05/11 - FtF
Flavio Ramirez	Chazaro	former DG PRONATURA Mexico	NGO member	DP & AI – 14/05/11 - FtF
Eduardo	Cota Corona,	PRONATURA Mexico	NGO member	DP & AI – 14/05/11 - FtF
Marco	Vinicio Cerezo	FUNDAECO Guatemala	NGO member	DP & AI – 14/05/11 - FtF
Pedro	Alvarez Icaza	CONABIO, Mexico	NGO member	DP & AI – 14/05/11 - FtF
Martha	Rosas Hernandez	CONABIO, Mexico	NGO member	DP & AI – 14/05/11 - FtF
Grethel	Aguilar	IUCN Meso America	Regional Director	DP & AI – 14/05/11 - FtF
Viviana	Sanchez	IUCN Meso America	Operations and Finances Coordinator	DP & AI – 14/05/11 - FtF
Arturo	Santos	IUCN Meso America	Coordinator, Biodiversity and Sustainable Use Unit	DP & AI – 14/05/11 - FtF
Rocío	Córdoba,	IUCN Meso America	Coordinator, Water Management Unit	DP & AI – 14/05/11 - FtF
Hubert	Méndez	IUCN Meso America	Coordinator, Environmental Policy and Governance Unit	DP & AI – 14/05/11 - FtF
Jesús,	Cisneros	IUCN Meso America	Monitoring and Evaluation Unit	DP & AI – 14/05/11 - FtF
Alberto	Salas	IUCN Meso America	Biodiversity and Sustainable Use Unit	DP & AI – 14/05/11 - FtF
Ronald	McCarthy	IUCN Meso America	Biodiversity and Sustainable Use Unit	DP & AI – 14/05/11 -

First name	Family name	Organisation	Role	Interviewer / Date / Mode
				FtF
Eugenia	Guzmán	IUCN Meso America	Human Resources Unit	DP & AI – 14/05/11 - FtF
Julian	Orozco	IUCN Meso America	Communications Unit	DP & AI – 14/05/11 - FtF
Michelle	Cartin	IUCN Meso America	Membership Unit	DP & AI – 14/05/11 - FtF
Carlos	Rosal	IUCN Meso America	Water Management Unit	DP & AI – 14/05/11 - FtF
Estuardo	Roca	IUCN Meso America	Biodiversity and Sustainable Use Unit	DP & AI – 14/05/11 - FtF
Deirdre	Shureland	IUCN Caribbean Programme	Coordinator	DP & AI – 14/05/11 - FtF
Agyemang	Prempeh	Forestry Commission, Ghana	IUCN Member	RG & DP – 14/04/11 - FtF
Dr Wisdom	Mensah	Institute of Cultural Affairs (ICA), Ghana	IUCN Member	RG & DP – 14/04/11 - FtF
Mr George	Abahtie	Green Earth Organisation (GEO)	IUCN Member	RG & DP – 14/04/11 - FtF
Prof. Chris	Gordon	Institute of Environment and Sanitation Studies (IESS)	WCPA Commission member	RG & DP – 14/04/11 - FtF
John	Mason	Nature Conservation Research Centre (NCRC)	SSC Commission member	RG & DP – 14/04/11 - FtF
Yaw	Kwateng	Independent expert	CEM Commission member	RG & DP – 14/04/11 - FtF
Ama	Kudom-Agyemang	Independent expert	CEC Commission member	RG & DP – 14/04/11 - FtF
Ken	Kinney	Independent expert	CEC Commission member	RG & DP – 14/04/11 - FtF
Wale	Adeleke	Head	IUCN Ghana Project office	RG & DP – 14/04/11 - FtF
Samuel	Kofi Nyame	Project Coordinator	IUCN Ghana Project office	RG & DP – 14/04/11 - FtF
Saadia	Bobtoya	Project Officer	IUCN Ghana Project office	RG & DP – 14/04/11 - FtF
Dela	Seshie	Admin and Finance officer	IUCN Ghana Project office	RG & DP – 14/04/11 - FtF
Anna	Swaithes	Head of Development	Cadburys Cocoa Partnership	RG – 10/05/11 - telephone
Yaa	Amekudzi	Project Leader	Cadburys Cocoa Partnership	RG & DP – 14/04/11 - FtF
Hope	Wordu	Project Coordinator	Cadburys Cocoa Partnership	RG & DP – 14/04/11 - FtF
Hon. Jessica	Eriyo	Minister of State for Environment	Uganda State Member	RG – 05/05/11 - telephone
Dr. Melita	Samoilys	CORDIO	NGO Member	RG, UB & SN – 05/05/11 - FtF

First name	Family name	Organisation	Role	Interviewer / Date / Mode
Dr Taye	Teferi	WWF	NGO member	RG, UB & SN – 05/05/11 - FtF
Dr James	Njogu	Kenya Wildlife Service	NGO Member	RG, UB & SN – 05/05/11 - FtF
Margaret	Otieno	Wildlife Clubs of Kenya	NGO member	RG, UB & SN – 05/05/11 - FtF
Kiki	Noordin	Swedish Embassy	Partner	RG, UB & SN – 05/05/11 - FtF
Achim	Steiner	Director, UNEP	Partner	RG – 05/05/11 - telephone
Tom	De-Meulenaer	UNEP CITES/MIKE Coordinator	Partner	RG, UB & SN – 05/05/11 - FtF
Maryam	Niamir-Fuller	UNEP GEF	Partner	RG, UB & SN – 05/05/11 - FtF
Simon	Carter	IDRC East Africa	Partner	RG, UB & SN – 05/05/11 - FtF
Pascal	Sanginga	IDRC East Africa	Partner	RG, UB & SN – 05/05/11 - FtF
Ali	Kaka	Regional Director	IUCN ESARO office	RG, UB & SN – 05/05/11 - FtF
Mine	Pabari	Regional Programme Coordinator	IUCN ESARO office	RG, UB & SN – 05/05/11 - FtF
Geoffrey	Howard	Invasive Species Programme Coordinator	IUCN ESARO office	RG, UB & SN – 05/05/11 - FtF
Diane	Skinner	African Elephant Specialist Group	SSC	RG, UB & SN – 05/05/11 - FtF
Edward	Mudida	Regional Finance Director	IUCN ESARO office	RG, UB & SN – 05/05/11 - FtF
James	Okaka	Head of Human Resources	IUCN ESARO office	RG, UB & SN – 05/05/11 - FtF
Barbara	Nakangu	Head of Uganda Office	IUCN ESARO office	RG – 05/05/11 - telephone
Hastings	Chikoko	Head of South Africa Office	IUCN ESARO office	RG – 10/05/11 - FtF
Irene	Hungwe	HR and Admin Officer	IUCN South Africa	RG – 10/05/11 - FtF
Kule	Chitepo	Resource Africa	SSC Commission member	RG - 11/05/11 - FtF
Masego	Madzwamuse	Independent	CEESP Regional Chair	RG - 11/05/11 - FtF
Jenny	Moodley	Johannesburg City Parks	Partner	RG - 11/05/11 - FtF
Spencer	Thomas	IUCN	FAC Council Member	RG – 23/05/11 - email
Hilary	Masundire	IUCN	FAC Council Member	RG – 23/05/11 – email
George	Greene	IUCN	Governance / FAC / Bureau Council Member	RG – 23/05/11 - FtF
Miguel	Pellerano	IUCN	Constituency Committee Council Member	RG – 23/05/11 - FtF
Robin	Yarrow	IUCN	PPC / Bureau Council Member	RG – 23/05/11 – email
Piet	Wit	IUCN	Bureau Council Member	RG – 23/05/11 – email
Brendan	Mackey	IUCN	PPC Council Member	RG – 23/05/11 – email
Hans	De Iongh	IUCN	PPC Council Member	RG – 23/05/11 - FtF
Durk	Adema	Ministry of Foreign Affairs,	IUCN Framework Donor	DP – 09/06/11 - telephone

First name	Family name	Organisation	Role	Interviewer / Date / Mode
		Netherlands		
Flemming	Winther Olsen	Danish Ministry of Foreign Affairs, DANIDA	IUCN Framework Donor	DP – 09/06/11 - telephone
Gilles	Kleitz	French Development Agency (AFD)	IUCN Framework Donor	Core Team – 13/06/11 - FtF
Johanna	Palmberg	Swedish International Development Agency (SIDA)	IUCN Framework Donor	Core Team – 13/06/11 - FtF
Yolan	Friedman	Endangered Wildlife Trust	IUCN Constituency Committee councillor	RG – 10/05/11 – FtF
Tim	Snow	Game Rangers Association	NGO Member	RG – 10/05/11 – FtF
Paolo	Caroli	CESVI	Partner	
Weber	Ndoro	African World Heritage Trust	Partner	
Domiltila	Raimondo	SANBI	SSC Commission member	
David	Newton	TRAFFIC	Partner	
Lenka	Thamae	ORASECOM	Partner	

Annex 3   Visit Schedule

Date	Visit	Team
9-11 March 2011	Team inception meeting with Alex Moiseev– ITAD	DP, RG, SN, UB
14-17 March 2011	Team inception and fact-finding – IUCN Gland	DP. RG, SN, UB
21-23 March 2011	Team interviewing – IUCN Gland	RG, UB
28 March 2011	Key Informant Interview	SN
10-15 April 2011	Country visit – IUCN Ghana	DP, RG
26-29 April 2011	Team interviewing – IUCN Gland	SN
3-7 May 2011	Country visit – IUCN Kenya	RG, SN, UB
8-13 May 2011	Country visit – IUCN South Africa	RG
9-14 May 2011	Country visit – IUCN India	SN, JV
11-14 May 2011	Country visit – IUCN Costa Rica	DP
15-17 May 2011	Country visit – IUCN Guatemala	DP
15-21 May 2011	Country visit – IUCN Thailand	SN, WS
18-21 May 2011	Country visit – IUCN Mexico	DP
22-24 May 2011	HQ Outposted office – IUCN USA	DP
22-24 May 2011	Team interviewing – IUCN Gland	RG, UB
6-8 June 2011	Council meeting – IUCN Gland	RG, UB
12-15 June 2011	Framework Donors meeting – IUCN Gland	DP, RG, SN
28-30 June 2011	Team interviewing – IUCN Gland	SN
26 July 2011	Key Informant Interview - UK	SN

Annex 4　　　　Progress 2007 Review Recommendations

2007 Review Recommendation	IUCN Response	2011 Review Progress Update
1. A New Compact with Members **COUNCIL and the DIRECTOR GENERAL should consider the findings of this review on members, particularly with respect to the outcomes of the Membership Strategy 2005-2008, and provide strategic direction and a longer-term vision for a future policy (or a new "Compact" with members) for IUCN as a membership organization. Specifically:**	Agree, however IUCN proposes to expand results and activities under this recommendations to include Secretariat, Commissions and the membership. Through this work, IUCN will increase the capacity of Members, Commission Members, partners and the Secretariat to network and connect their actions in the field with global policy work (see also Recommendation 4 on strategic influencing). This work will be led primarily by the Director General with the guidance of the One Programme Working Group of Council	**Members report some improvements and evidence of some progress with Membership Mapping exercise and restructuring of the Constituency Support Group** • No New Compact with Members 　• No new Membership Strategy 2009-12 as pending completion of Membership Mapping exercise which in turn is on hold pending completion of the ERP / CRM 　• Restructuring of Constituency Support Group from administration and collection of dues to focus on Member engagement. This has involved: 　　○ Increased clarity about services offered to members 　　○ Ensuring members are better informed and engaged – e.g. better opportunities to comment on IUCN policy – role still relates primarily to commenting on policy rather than forming policy 　　○ Members now engaged in Regional Conservation Forums through Membership Unit and Membership Focal Points 　　○ Two studies on IUCN National and Regional Committees (NRCs) and on IUCN national and international non-governmental organization Members - presented to Council in November 2010
1.1 COUNCIL and the DIRECTOR GENERAL should propose clear policy guidelines for the future development of IUCN as a membership organization and should be prepared to support any necessary statutory changes, with respect to the criteria for membership; categories of members (including new categories); targets for growth of members in different categories and regions; and the benefits and responsibilities of membership.	Agree, however any statutory changes will be based on decisions reached in Council and Congress. The Director General will await this guidance before proceeding Under the guidance of Council, this work will be primarily the responsibility of the Deputy Director General. This work will involve the Regional Directors and will aim to improve processes of administering members, professionalizing administration leading to statutory changes in 2012	• No new policy or guidelines for the future development of IUCN as a membership organisation although changes to membership make up discussed at Council level
1.2 A new policy for members should also address the links between members and Commissions and how these might be improved to make IUCN more effective. This should build on the work of the Reform Process Task Force and One Programme Working Group1	Agree, however propose to combine actions under this recommendation with 1.1 and expand the scope of responsibility to the Secretariat, using guidance from Council, in particular, the One Programme Working Group. Again, this work will involve all regions. established by Council at its meeting in November 2007 and the change management process for the secretariat being led by the Director General.	• As above – no new policy for members. However, significant progress in development and communication of One Programme Approach as well as restructuring of the Constituency Support Unit to focus more on Member and Commission engagement.
1.3 In order to assist Council in its deliberations, the DIRECTOR GENERAL should provide a financial analysis of the costs of providing current services to members of different categories and across all regions for 2004-2008 (or 2003-2007 to ensure the costs of one WCC year are included) and if possible provide some future financial scenarios to guide alternative new policy options.	Agree, however this analysis should reflect both costs and benefits, including non-monetary benefits, in order to showcase the contributions of Members to the Union	• No formal financial or cost-benefit analysis conducted.
1.4 The MEMBERSHIP COMMITTEE OF COUNCIL and the DIRECTOR GENERAL should review the current and potential future roles of National and Regional Member Committees and any changes that might be needed to support an expanded role, such as more resources and more accountability. This follows from the proposal by the President of	The President's proposal was incorporated into the work of the Governance Task Force of Council and it will continue to review and develop the roles of National and Regional Member Committees	• Study conducted to better understand the role and value of the National and Regional Member Committees – presented to Council in November 2010

2007 Review Recommendation	IUCN Response	2011 Review Progress Update
IUCN to develop a new framework for cooperation between member committees and IUCN.	The Membership Committee of Council has been reorganized into a Constituency Committee of Council	
1.5 THE FINANCE AND AUDIT COMMITTEE and the MEMBERSHIP COMMITTEE of COUNCIL, in consultation with the DIRECTOR GENERAL should define what accountability framework, including an Internal Control System (ICS) is needed for IUCN that will include IUCN members (including National and Regional Committees), Commissions and the entire secretariat in the light of (1) changes to Swiss laws governing auditing in January 2008; (2) the Risk Register being developed for IUCN; and (3) any new 'compact' between members and the Union that may be developed as part of the new IUCN Strategy 2020.	Agreed, however Membership Committee is now the … (TEXT MISSING FROM ORIGINAL PDF DOCUMENT)	• IUCN has a functioning internal control system but it is not clear how IUCN has responded on this specific point other than reiterating that IUCN is compliant under Swiss Law.

2. A New Membership Strategy 2009-12
COUNCIL and the DIRECTOR GENERAL should develop a new membership strategy based on consultation with the members and input from Commissions and the secretariat. The strategy should be consistent with the new IUCN Strategy 2009.
	Partially agreed. The existing Membership Engagement Strategy will remain in effect and… (TEXT MISSING FROM ORIGINAL PDF DOCUMENT)	**No new strategy but significant investment in constituency services**
		• No new Membership Strategy for 2009-12
		   • On hold pending Membership Mapping which itself on hold waiting for technical solutions for integration with ERP / CRM
		   • Overall slow progress with Membership Mapping approx. 1/3 complete.
		   • Better understanding of needs of members decentralised to Regions through Membership Focal Points
		   • No explicit membership development strategy or rationale at HQ which involves targets or categories of new members
		   • Some Regions have strategy at region and country level

2.1 The benefits and responsibilities of membership including services to be provided to members by the secretariat should be made clear so that members can better understand the value proposition of IUCN to them;	Agreed	• Benefits clearly set out in Membership Welcome Pack • Other activities on hold pending Membership Mapping
2.2 Targets for increasing members in different regions and categories and with different profiles should be re-examined in the light of experience with the current strategy. Specifically, the global targets to increase membership and spread IUCN's presence more thinly over more countries might be reconsidered;	Agree that targets will be set, after consultation with Council and Congress	• No explicit targets yet set • Technical discussions held in Council on types of memberships and dues structures etc • Increased role and responsibilities of Regional Directors to engage new Members
2.4 Responsibilities for reaching targets, levels of service and reporting on results should be made clearer and more specific within the Secretariat and Commissions;	Agreed	• Operational plans come from each units – CSU comment to ensure specific membership engagement and communications strategies are included in these • No means of enforcing Member engagement targets, levels of service and reporting on results leading to different levels of Member engagement between component programmes
2.5 The secretariat should reorganize the way it provides services and support to members to become more efficient and effective;	Agreed	• Restructuring of Constituency Support Team from administration and collection of dues to focus on Member engagement – particularly communications from Secretariat to Members. • Other work on better understanding members includes two studies on IUCN National and Regional Committees (NRCs) and on IUCN national and international non-governmental organization Members - presented to Council in November 2010
2.6 The strategy should include a membership survey to be undertaken once each Intersessional to provide for feedback from members and comparison with the baseline established by the IUCN Member Survey 2007.		• Follow up membership survey not yet conducted – want to see questions and results of the 2011 Review Survey before creating a new survey
3. Analysis of Intervention Assumptions **IUCN instigate a process to deepen understanding and more clearly articulate and test the assumptions (theories of change) that underpin how it aims to strategically influence**	Agree, but the recognition that theories of change are already present and explicit in much of IUCN's work although overall they will be better documented and tested	**Theory of change and policy influencing built into project design but less evidence of these in project M&E arrangements** • IUCN has integrated aspects of the Theory of Change approach into project and programme design (e.g. the DRAFT IUCN Programme 2012-16 contains a situation analysis for each Core and Thematic Programme Area). However, there exists no overarching Theory of Change relating to IUCN's aim to strategically influence.
3.1 The DIRECTOR GENERAL establish a joint commission and secretariat learning and innovation group on the topic with the tasks of: preparing	Agree, but this will be a light body, operating under the Knowledge Management Strategy,	• Progress in adopting theory of change through the Project Appraisal System; theory of change is an element in the Knowledge Management System.

2007 Review Recommendation	IUCN Response	2011 Review Progress Update
and documenting a conceptual basis for using theories of change; developing practical tools and methodologies that would enable such analysis to be integrated into programme and programme design and the planning of strategic influencing processes; developing practical guidelines on how to facilitate theory of change analysis.	not a major initiative	
3.2 Recruitment of secretariat staff be orientated to a better balance between biophysical and social science expertise.	Agree, only if a skills audit reveals lack of social science skills in the Secretariat. It will be necessary to better identify and use existing social science skills	• No evidence of explicit action to affect the balance of staff skills.
3.3 A theory of change approach be part of a secretariat and commission wide training programme.	Partially agree, programme theory of change exists, it will be clarified and tested	• No formal, large scale training, but included in Project Guidelines.
3.4 A theory of change perspective be explicitly integrated into situation analysis, programme and project planning and monitoring and evaluation processes and the accompanying documentation.	Partially agreed: IUCN's theory of change is well embedded in the Programme and will be further embedded in Programme and Project cycle management	• Theory of change terminology does not appear in either the 2009-12 or draft 2013-16 Programme documents. The sections on 'approach' in the 2013-16 draft are said to reflect a theory of change approach but the reviewers found that only two of the thematic programme area approaches put forward sufficient structure to reflect a theory of change.
3.5 The testing of theories of change central to IUCN's organizational learning and monitoring and evaluation processes.	Partially agreed, testing theory of change will be one criteria for monitoring and evaluation, not the primary one	• Review of prominent projects and others during field visits shows that theory of change is not yet explicitly built into arrangements for project M&E.

4. Enhancing Capacities for Strategic Influencing
 	
The DIRECTOR GENERAL, in collaboration with the membership and Commissions, develop a strategy to strengthen IUCN's strategic influencing role, particularly at the regional and national levels.
	Agreed	**Piecemeal rather than coherent and tends to be event (e.g. convention) and project-driven – no formal strategy, training or capacity building**
		• Overall, progress in enhancing capacities for strategic influencing has been piecemeal.
		   • Little evidence that Regions are now more involved/engaged in strategic influencing outside of direct programme / project activities beyond establishing the link between the programme results framework and the leveraging of IUCN's value proposition in strategic influencing.
		   • There have been some attempts to revitalise the Global Policy Group, but more remains to be done (see separate discussion of structures and functions in main report).
		   • Strategic influencing indicators relate to roles, policy influencing strategies, policy baselines, and policy monitoring indicators - and there is evidence for some of this as part of the design of the programme monitoring and project appraisal systems.
		   • At global level IUCN strategically goes after a few conventions – CBD/CITES and mobilise Regions, Commissions, and Members in this effort. However, there is no evaluation, monitoring or lesson learning of policy influencing – insufficient resources.

4.1 Clarify the roles and responsibilities for National and Regional Committees in relation to initiating and supporting strategic/policy influencing activities.	Agreed, but we will proceed cautiously with this recommendation, building on the successful and well-functioning national and regional committees, establishing best practice, before expanding the model	• No evidence that this has been undertaken beyond the study conducted to better understand the role and value of the National and Regional Member Committees referred to above. • No guidance, capacity building / training offered to regions on policy influencing
4.2 Enhance the regional situation analysis processes to include an assessment of emerging and critical policy developments affecting conservation.	Most regional situation analyses already include policy issues, but this will be further improved	• Situation analyses are being prepared as part of the 2013-16 Programme preparation process, and a sample suggests that they include some policy analysis.
4.3 Establish and resource a regional level task group of members, Commission representatives and secretariat staff to guide strategic/policy influencing work.	Partially agree, already exists in several regions	• No evidence that of a single Regional Policy Advisory Group functioning • Some recent work conducted by Policy and Programme Group (PPG) on policy influencing strategy but not yet a formal policy to guide strategic / policy influencing work.

2007 Review Recommendation	IUCN Response	2011 Review Progress Update

4.4 Enhance the coordination and prioritization of key strategic/policy influencing objectives across the Union.	There is a Global Policy Group currently already existing	• Little evidence of a formalised process to coordinate and prioritise strategic / policy influencing work.
		• However, some evidence of progress reflected in;
		  • Global Policy Meeting in March 2009 set out much of the framework for strategic/policy influencing. However, it is not easy to track the implementation in practice since then.
		  • Policy Focal Points have been identified, and their roles defined (including 'the interface between activities, results and policy strategies', identifying and coordinating a policy network for a thematic area, coordinating developing and refining the policy priorities / influencing strategies and tactics, quality assurance and monitoring and reporting of global policy results.
		  • Directors Terms of Reference refer to responsibilities for policy work.
		  • Programme and policy priorities are discussed in programme planning documents
		  • IUCN tends to refer to key strategic/policy influencing activities in relation to the network approach and the role of network coordinators.

4.5 Undertake a needs assessment of the individual and organisational capacities required at various scales to effectively support strategic and policy influencing activities of the Union	This is already underway as part of the renewal of the Global Policy Group	• No formal needs assessment undertaken partly as PPG face severe resource constraints. However:
		  • Programme development guidelines (in development) include specific guidance on policy influencing.
		  • However, so far as I am aware, the needs assessment has not yet been done. This is understandable, as it is clear that the Programme and Policy Group do not have the resources to carry out this work.

4.6 Establish a capacity development programme for secretariat staff, Commission members and IUCN members	Agreed	• The Advisory Group on the Programme and Advisory Support (POS) unit presented a brief capacity building needs assessment across the IUCN Secretariat. It is not clear what evidence this was based on. The needs assessment mentions 'Policy, capacity building for advocacy' as the 7th priority out of 10 but does not specifically refer to strategic and policy influencing. • There is no evidence of specific training materials or capacity building plan for strategic and policy influencing. However these were not scheduled until 2010-2011 in response to the 2007 Review
4.7 Ensure that regional directors or at least one other senior staff member at the regional level have high level abilities related to strategic influencing	Agreed, and this is generally the case already	• A sample of Regional Directors and Regional Programme Coordinators ToRs contain strategic influencing responsibilities and the Regional Directors engaged through the field visits demonstrated strong capacities for strategic influencing.
4.8 Provide the regional offices with dedicated staff and resources for strategic influencing activities	Partially agree: strategic influencing should be part of every project and programme intervention, not necessarily a specialized skill separate from projects and programmes. Capacity building for strategic influencing and policy work will be the preferred strategy	• Global Policy Influencing Priorities and Indicators were set for the 2009-12 programme. • The Project Appraisal System guidelines make provision for appraising policy and strategic influencing.
4.9 Improve the balance in skill sets across the secretariat, to ensure greater depth in advocacy, communication, and the social sciences as part of a staff development and longer-term recruitment plan.	This recommendation is repeated in 4.5, 4.6 and 3.2	• No evidence of a specific staff development and recruitment plan to ensure stronger advocacy, communication and social science skills set.

4.10 Ensure the recommendations of the Regionalization and Decentralization Review, particularly those directed at an improved regional model for the secretariat, are implemented.	Agreed, and has been underway for the past 18 months	• It is very difficult to assess progress in this area.
		  • There appears to be some evidence for interest in intra-regional collaboration, but it's not obvious that this represents a significant level of activity on the ground.
		  • There are some systems and procedures which improve interaction between HQ and regions -Regional Conservation Fora, Coordinated Network Aproach, improved ICT through ERP, more inclusive planning processes, and some localisation/outposting of personnel.
		  • Although POS and the POS Advisory Group are established, there is some confusion about what the best use of these resources would be, and how precisely their activities facilitate regionalisation and decentralisation.

2007 Review Recommendation	IUCN Response	2011 Review Progress Update
5. Strengthen IUCN as a Knowledge Organization **The DIRECTOR GENERAL gives urgent attention and high priority to enhancing IUCN's knowledge management functions and capacities to support the work of the Union.**	Agreed	**Enterprise Resource System (ERP) prioritised up to now. Still a need to bring ICT, scientific knowledge, internal and external communications, marketing, networking, branding, monitoring and evaluation (M&E), and lesson learning together under the concept of 'knowledge management'** • A comprehensive definition would bring together information and communications technology (ICT), scientific knowledge, internal and external communications, marketing, networking, monitoring and evaluation, and lesson learning and sharing. The main issue here is that IUCN has prioritised ICT, particularly the ERP, as an essential precursor to improved Knowledge Management. Unfortunately, there does not appear to be a comprehensive and shared understanding of what it means for IUCN to be a Knowledge Organisation, so the other essential elements are not being addressed in a coherent way.
5.1 Commission an internal task force, linked to external expertise, to review current developments in the fields of cognitive science, complexity, organisational learning and knowledge management to establish key principles for an innovative, robust and workable approach to knowledge management within the Union.	We do not plan to revise the conceptual basis of the Knowledge Management Strategy, only the operational components	• No evidence that the KM task force is in operation, or that clear activities and deliverables have been defined. A KM Officer has been employed by Secretariat HQ. • The Science and Learning Unit takes a particular focus on science (developing and sharing science knowledge products, and raising the IUCN science profile); and on policy influencing.
5.2 On the basis of 4.11, the draft Knowledge Management Strategy be revised and adopted.	Agreed	• A KM Officer has been recruited; however there does not appear to be any active work on development or implementation of KM strategy. • The most substantial document on KM dates back to 2004, and makes a number of proposals, but does not represent a comprehensive strategic understanding of KM.
5.3 Based on 4.11 and 4.12, the ICT backbone, content management systems and web-site functionality be substantially upgraded within an 18- month period in order that functional and 'user friendly' knowledge management support systems are in place for the 2009-2012 Programme.	Agreed and underway	• ERP is currently progressing on schedule. Some elements have been activated, others are being tested. There is a general climate of anticipation. • The main concern is the extent to which elements of IUCN regard ERP as a 'magic bullet', which will resolve planning, budgeting, monitoring and knowledge management frustrations.
5.4 The DIRECTOR GENERAL bring to COUNCIL a new policy and practical guidelines for sharing key information within the Union (members, Commissions and secretariat), including opening access to the Knowledge Network, and enhancing the members website.	Agreed in principle, however the knowledge management strategy is the basis for information sharing in IUCN, alongside any Council policy regarding … (TEXT MISSING FROM ORIGINAL PDF DOCUMENT)	• There is no evidence that a knowledge management strategy has been implemented,. • A Framework of Principles for Managing Biodiversity Data has been drafted and is open for consultation before being presented to Council and then the 2012 World Conservation Congress. Please see: http://www.iucn.org/about/work/programmes/science_learning/science/km/?7982/Framework-of-Principles-for-Managing-Biodiversity-Data • Some evidence of piecemeal KM activities happening across the Union but not joined up e.g LLS had KM officer. WANI doing KM as part of M&E but don't have a policy for it.
5.5 Within the change management process for the secretariat, the DIRECTOR GENERAL work towards creating a culture, the protocols and performance-based incentives and sanctions that will encourage contribution to and use of IUCN's knowledge management systems.	Agreed	• As above relating to no KM strategy, also very little evidence of a culture, the protocols and performance-based incentives and sanctions that will encourage contribution to and use of IUCN's knowledge management systems
5.6 Guidelines and procedures be established to ensure new projects contribute financially and content-wise to IUCN knowledge management objectives. This should include attention for how knowledge produced will be utilised.	Agreed, but as part of knowledge management strategy	• These procedures do not appear to exist in the 2009 draft of Project Appraisal System guidelines. • IUCN have recently produced a document entitled Project Guidelines and Standard Modules which includes a section on KM objectivves. Aspect of project appraisal for KM have also been built into ERP.

2007 Review Recommendation	IUCN Response	2011 Review Progress Update
5.7 IUCN's thematic programme areas more clearly and explicitly identify key learning (action research) questions to help focus learning activities with specific projects and initiatives.	Agreed, covered under recommendations 3 and 6 on theories of change and monitoring and evaluation	• See Recommendation 6 under M&E
5.8 DONORS support the Director General to obtain additional funds for upgrading the ICT and management information system of IUCN, including the functionality and content of databases such as the member databases, as a matter of urgency.		• Not clear if any specific funding has been found from donors for upgrading the ICT and MIS although IUCN have funded the ERP from core funds which will include a member database as a function of the Membership Mapping.
6. Strengthening the Monitoring and Evaluation Function **The DIRECTOR GENERAL oversee a substantial upgrading of the secretariat's capacities, structures, procedures and resources for monitoring and evaluation processes to support learning and accountability functions and to enable reporting on the Unions activities and achievements in a synthesised and coherent manner.**	Agreed	**PM&E influential but under-resourced for IUCN's complexity and knowledge orientation. Challenge remains in linking operational planning to the quadrennial programme** • This is a difficult recommendation to evaluate. Positively a significant amount of work has been done to strengthen programme planning and, in particular, monitoring. However, M&E development must be seen in the context of a wider effort to address the whole Results Based Management (RBM) approach as well as the project and programme planning, appraisal and monitoring cycle. • In reality, the effectiveness of the M&E system is limited by shortcomings in the organisation's planning model. In essence, while high level results are defined as part of the quadrennial Programme, actual operational plans thereafter are built from the bottom up, resulting in retro-fitted portfolios of projects and programmes. Efforts are made to link each component to the achievement of strategic results, but in the absence of a process by which specific quantifiable, measurable and time bound (SMART) indicators are agreed and documented for each Core and Thematic / Regional programme or portfolio of projects, M&E can only assess each project and programme in isolation, and then infer their contribution to the achievement of global result. • A major constraint is the lack of resources for monitoring support, and particularly for evaluation.
6.1 Conduct an internal review of the secretariat's successes and failures in institutionalising monitoring and evaluation over the last 10 years as a basis for establishing a Monitoring and Evaluation Plan for 2009-2012.	Already completed	• The M&E plan exists, and is based on lessons learned. • In the face of a lack of resources, commendable efforts have been made to encourage and support programme coordinators to complete self-monitoring, and this is largely operational. • Monitoring reports provide a statement of activities completed, and assessment of the extent to which these have contributed to the achievement of global result. Financial resource information is also provided.
6.2 In the context of the well-recognised difficulties of monitoring and evaluation in the development sector, greater clarity is sought from the Framework Donors about their medium and longer term requirements.	Agreed, however expectations must match available resources and methodological constraints. For example, it is not reasonable to require impact level monitoring in the face of the large amount of resources required and the methodological challenges that few can overcome	• Donor M&E requirements are currently focused at the project and programme level of individual donor-funded projects. • Framework donors increasingly require rigorous and robust information at the outcome and impact-level of IUCN's Programme • IUCN requires further definition from the framework donors on the nature of results reporting required and would welcome capacity building support from donors to strength reporting in line with coherent RBM and reporting requirements.
6.3 The DIRECTOR GENERAL review the roles, responsibilities and reporting relationships for the corporate evaluation, performance assessment and programme monitoring functions as well as their appropriate locations within the organisational structure to ensure that needs for independence and accountability and integration are appropriate.	Agreed	• This is a challenging and problematic area for IUCN: • The Oversight Unit is extraordinarily under resourced (one person - by comparison with a Communications Unit of 15 in HQ plus up to another 25 to 30 full-time in various programs and regions). • IUCN's own policy document on internal audit states that the function should report to a separate Audit and Risk Committee - not the FAC. • With just with one officer, it's impossible that the Oversight Unit can fulfil the policy expectations that it 'will give assurance to the FAC on members and donors funds being well administered with accountability, probity and prudence'.

2007 Review Recommendation	IUCN Response	2011 Review Progress Update
6.4 Monitoring and evaluation functions and capacities continue to be strengthened and supported in regional and thematic programmes.	Agreed	• This has been achieved. The guidelines exist, programme coordinators are actively supported and networked, and training is provided.
6.5 Monitoring and evaluation systems to support the Programme 2009-2012 are carefully designed to ensure that they provide the necessary information for both accountability and learning, are realistic in terms of data entry required and can be effectively supported by the knowledge management system.	Agreed	• Programme monitoring takes place, according to monitoring plans which are developed with guidance and support. • Progress monitoring and reporting is an important part of the annual and quadrennial planning cycle. • Although it has been streamlined, the process is still rather cumbersome pending the implementation of the relevant elements of ERP.
6.6 Much greater attention is given to the monitoring of the gender dimensions of IUCN's work and ensuring gender disaggregated data.	Agreed	• Limited evidence that gender is more 'visible'. • 4 or 5 of the prominent programmes reviewed have gender disaggregated reporting – WANI, LLS, MFF, Alliances.

6.7 Management require programme monitoring reports to make specific reference to member involvement in programme implementation and should reward staff for successful member engagement through incentive schemes such as budget allocation and performance appraisal.	Agreed	• Some evidence of progress:
		  • The RBM Framework and planning guidelines specify that Member engagement in policy processes, capacity building, direct project implementation, and technical exchange must be explicitly documented in work plans.
		  • Partnerships between Commissions, Members, National and Regional Committees and the Secretariat should also be documented.
		  • The nature of engagement mechanisms must also be documented

7. Enhancing Core Capacities
The DIRECTOR GENERAL prepares for approval by Council an overall plan for enhancing core organizational capacities with clear targets, priorities and responsibilities, based on a detailed assessment of the additional resources required. The plan is explicitly linked to the annual business plans from 2009 onwards and the Director General reports on implementation progress regularly to Council.
	Agreed, will happen as part of actions against other recommendations	**There is little evidence of a coherent strategic approach to assessing and enhancing core organisational capacities. No evidence of an overall skills needs assessment or similar**
		
		• There is little evidence of a coherent strategic approach to enhancing core organisational capacities. However some progress has been made in relation to:
		  • E-learning is on offer covering a variety of knowledge and skills, but uptake is poor (187 staff completed courses in 2010, although there were 900 visits to the relevant areas of the network). There is a plan to develop some 'obligatory' e-learning courses, but this has not happened yet.
		  • Various individual units offer technical training periodically. A number of global service units support on-the-job learning through coordination/ liaison/community of practice approaches (for example, for planning, M&E, finance and HR).
		  • Budgets for technical training sit with individual cost centres (and are reported as the first budget lines to be cut).
		  • HR report that the most important learning priority is management skills. There is no evidence of systematic needs analysis at this level.
		  • Recruitment is on a post by post by post basis, there is little evidence (or, in fact scope for) a coherent approach to workforce planning which could incorporate specific targets for importing new skills.

8. Transforming the Project Portfolio **The DIRECTOR GENERAL oversee a significant realignment (and potentially a reduction) of the project portfolio such that it enables IUCN to have project resources that are more focused on its strategic influencing, learning, innovation and knowledge management**	Agreed, and we will build on already existing trends in the project portfolio toward increasing convergence between programmes, leverage initiatives and global projects implemented in the regions, with	**Some evidence of change at Regional level. Prominent projects contribute positive lessons if mechanisms to share lessons are in place. On-going tension exists with project financing model.** • There is some evidence of progress in transforming the project portfolio to contribute to a coherent Programme of Core and Thematic programme areas although it is difficult to assess overall progress in this

2007 Review Recommendation	IUCN Response	2011 Review Progress Update
functions.	projects themselves, as well as between projects and strategic influencing priorities	regard. • IUCN can demonstrate a set of good practice examples of projects and programmes which demonstrate a strategic influencing nature.
8.1 Establish clear guidelines for project design and budgeting that ensure activities and resources for IUCN's added value are whenever possible embedded.	Agreed	• Guidelines developed and in use. Reviews of projects show general good standards of design and development.
8.2 Improve coordination and alignment of global programme work with regional initiatives.	Agreed	• High standard achieved with WANI but not seen to the same extent with other global initiatives such as LLS. More scope to learn from regional initiatives such as Alliances in ORMA.
8.3 Enhance staff capacity to initiate, design and negotiate the funding for projects better aligned with strategic influencing and IUCN's value proposition	Agreed	• Field visits and project reviews indicate staff have strong capacity for project design and development.
8.4 Ensure the management structures and human resources are in place for regional offices to effectively support and implement global initiatives such as the Water and Nature Initiative and the Landscapes and Livelihoods Programme	Agreed	• Achieved.
8.5 An improved balance in the project portfolio become explicit in the expectations and performance assessment of regional directors.	Agreed	• Unclear what changes have been mad..
8.6 Component Programmes be asked to include in their Workplans and planning budgets for 2009-2012 more information on how (and where possible, which) members will be involved in implementation of the programme.	Agreed	• Field visits suggest good progress on involving Members during project implementation; but much less progress in working with members for programme design.
8.7 The Secretariat more proactively seek project funding from donors at the national and regional levels that is primarily focused on strategic influencing, learning, innovation and knowledge management or which include sufficient resources for these functions to be carried out.	Agreed	• Specific examples seen during the field visits; no overall analysis available for IUCN as a whole.
8.8 The secretariat more clearly articulate its added value through convening, knowledge management and other strategic influencing activities and how this aligns with donor objectives and priorities in particular regions and countries.	Agreed	• Specific examples seen during the field visits; no overall analysis available for IUCN as a whole.
8.9 A track record of existing projects and initiatives of a strategic influencing nature be developed to provide examples for acquisition	Agreed	• Good practice examples available and reported.
8.10 More regular bi-lateral and multi-donor meetings be held at national and regional levels to discuss and negotiate how projects can be developed that give a better fit between both donors' objectives and IUCN's added value.	Agreed, but already occurring	• No formal record of outcome from meetings.
9. Enhancing Donor Support **Framework Donors take a more proactive role in supporting IUCN to achieve a level and structure of funding that enables it to invest in core**		**Recommendation directed at donors but no response. Objectives in framework agreements lack indicators and not monitored.**

2007 Review Recommendation	IUCN Response	2011 Review Progress Update
organizational capacities and respond to growing demands of the international community.		• No response to this set of Recommendations received from Framework Donors.
9.1 Donors make a one-off investment over the next four years that would enable IUCN to development the critical organizational capacities that are key to meeting the expectations of members and donors.		• No evidence of a one-off investment to development the organizational capacities that are key to meeting the expectations of members and donors.
9.2 The Director General consult with Framework Donors to clarify and if possible increase the flexibility available to IUCN in allocating framework funding for core organizational functions within the Secretariat and Commissions.		• No change in the flexibility available to IUCN in allocating framework funding for core organizational functions
9.3 The Framework Donors instigate an internal process of communication and engagement between their central offices and their national/regional offices that could support IUCN in re-orientating the nature of its project portfolio to better align with its value proposition.		• No evidence of an internal process of communication and engagement between their central offices and their national/regional offices that could support IUCN in re-orientating the nature of its project portfolio to better align with its value proposition.
9.4 Framework and other donors provide additional funding for IUCN in the form of global support programmes similar to the Water and Nature Initiative and the Landscapes and Livelihood Programme.		• No evidence of additional funding for IUCN in the form of global support programmes similar to the Water and Nature Initiative and the Landscapes and Livelihood Programme.
9.5 The Framework Donors actively support the Director General in increasing the number of framework donors and partners and in ensuring a level of framework funding appropriate for the mission value proposition of IUCN.		• Little evidence of active support from the Framework Donors to increase the number of additional donors. In fact, in the current global financial climate the number of Framework Donors has fallen together with the total framework funds. This trend is expected to continue.
10. Diversifying the Partnership Base **The DIRECTOR GENERAL and COUNCIL make diversifying the funding base and the establishment of new strategic alliances a central priority over the coming Quadrennial Period.**	Agreed	**Some progress in exploring new funding partnership ideas with limited success in a challenging external environment. Efforts tend to be HQ-led and not building on Regional opportunities. Scope to work more with Members. Opportunity to link funding to programme strategy.** • There is evidence of a coherent strategic approach to diversifying the partnership base. However, given a number of adverse factors – global financial crisis and the decline framework funding as a preferred donor fund allocation method – limited progress has been made in diversifying the partnership base. The Strategic Partnerships team in HQ is small and under-resourced given the critical function performed. • Some progress has been made by the Strategic Partnerships team in engaging new framework partners such as the Abu Dhabi Environment Agency as well as small signs of progress developing philanthropists and IUCN Good Will Ambassadors.
10.1 A Task Force involving Council members, selected IUCN members and appropriately qualified external advisors be established to provide support and guidance to the Director General and Council in diversifying the funding base of IUCN.	Partially agreed: diversification is agreed, but the Task Force is not	• Despite disagreement on the need for a task force, options for diversifying the funding base are discussed at Council.
10.2 The Finance Plan 2009-2012 should include clear objectives and implementation actions for how funding diversity is to be achieved, and should be aligned with the business plan for the Secretariat.	Agreed	• Fundraising was included in the intersessional Financial Plan, and there was also a Fundraising Plan for the period - but although these are presented to Congress they are not a basis for action.
10.3 The DIRECTOR GENERAL develop guidelines for staff on best practice on managing partnerships and alliances, including with members. The guidelines will take into account existing IUCN protocols for work with the private sector and should deal with policy issues of concern to Council. The guidelines should be accompanied by training	Agreed	• An action plan for Enhancing the Effectiveness of Fundraising for IUCN Regional Programme was developed as an internal paper May 2011. Beyond this in the Regions, partnerships are entered into in an ad hoc, case by case basis depending on funding opportunities for specific projects and programmes. • There are no formal guidelines for entering into partnerships with the private sector and the involvement of the private sector remains an contentious and unresolved issue between the Secretariat and members of the Commissions.

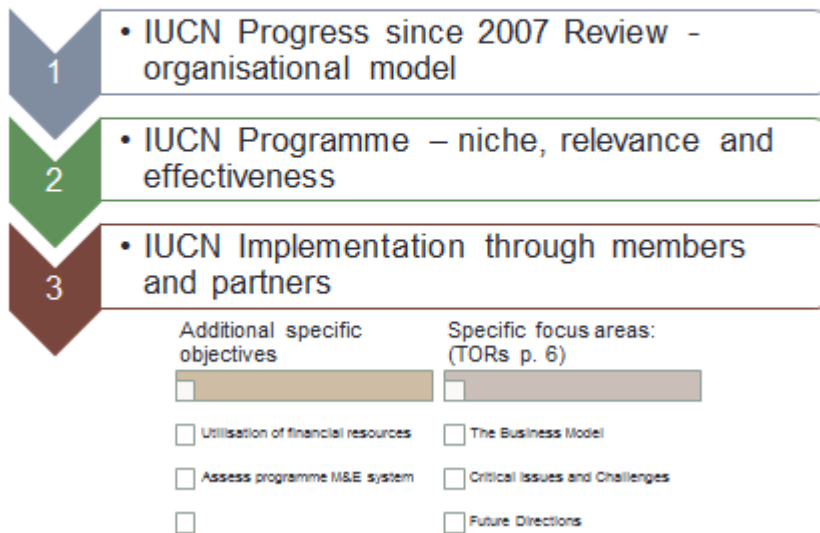| 2007 Review Recommendation	IUCN Response	2011 Review Progress Update
for staff and become part of performance appraisals for staff and managers.		
10.4 The DIRECTOR GENERAL should make more financial and staff resources available within the secretariat for member engagement and support. This should include both headquarters and regional offices and administration and programme functions	Agreed	• Resources for Member engagement and support are dealt with under Recommendations 1 and 2 above.

11. Strategy and Planning Coherence and Follow-up
The DIRECTOR GENERAL and COUNCIL agree on a clear hierarchy and coherence of strategy and planning documents that include a long term strategy, the Quadrennial Programme, and rolling business plans and organisational development plans.
	Agreed	**Poor quality of linkage between global results areas, implementation planning and cost centre-level work plans. Some progress in prioritisation and resource allocation according to results (RBM) although not yet transparent and fully established. Draft Business Strategy good but now follow up. Clear demand from framework donors.**
		
		• Programme planning takes place at three levels: long-term (2020 Vision), intercessional (Programme planning), and biannual. There is no clear evidence of an extremely long term strategy (2050), but this is an unrealistic recommendation in any case. Programme plans are linked across the levels as described, and effectively document the activities which the organisation intends to carry out. However, there are major shortcomings:
		    • The poor quality of linkage between global result areas and cost centre level work plans. As described above, there is no clear chain of SMART indicators, aggregated at each level. The M&E system tries to remedy this lack, but this is not sufficient. (See main report for fuller discussion)
		    • The poor quality of prioritisation processes, particularly because governance processes tend to result in a long 'wish list' of activities which the Secretariat is directed to carry out, without any meaningful assessment of feasibility against financial and other constraints. At the recent Counsel, this was recognised in discussions, and then a proposal that future programme assessment should bring together programmatic and financial considerations, through joint work between the PPC and FAC. An urgent need for this was echoed by the Donors at the Framework Donors meeting.
		    • Although there is a linked hierarchy of programme planning, this should sit in a strong framework of corporate and financial planning (including all aspects of fundraising, workforce planning, etc). This should be much more than an aggregated budget. In fact, a financial and fundraising plan was prepared for the current intersessional, but does not appear to receive sufficient attention relative to annual budget and short-term financial management considerations.

11.1 A meta-analysis by undertaken of the recommendations of the various recent and on-going reviews of different components of Programme, Membership, Commissions, Regional Offices, Secretariat functions, Knowledge Management etc. and agreed priority actions be integrated into a rolling organisational development plan that is updated after new evaluations, reviews and strategies.	Disagree, this is largely complete as a result of this process and the regionalization and decentralization process	• Several documents capture the efforts which IUCN has made in this respect, including the DG's Plans for Organisation Development and Change (August 2008), the IUCN Draft Business strategy (January 2009). • It is clear that progress has been made in a number of areas. Notably, those interviewed and the web surveys of Commissions and Members indicate some improved communication of the Value Proposition, the One Programme, and progress with the ERP, etc. • However, although the Draft Business Strategy represents a good attempt to bring all of these together in a single, coherent Organisation Development Plan, it is not accompanied by any subsequent organised implementation plan, review and updating process.
11.2 COUNCIL establish a special oversight body or charge the Governance Task Force to provide effective oversight to the many strategic planning initiatives underway to ensure that they are mutually reinforcing, implemented in a logical sequence, and together form a coherent planning system.	Council already provides oversight through its current Committee and Working Group Structure	• The DGs written report to the most recent Council alluded to the process of change, but merely referred to a recent POS paper identifying recommended countries, sub regions and cities where IUCN's presence should be strengthened, and to the external review. • A limited search back through Council papers seems to indicate that this is a standing report to Council. However, the report tends to be a cursory paragraph. For example, from the DG report to the November 2010 Council meeting: '*The follow up to the 2007 External Review of IUCN is ongoing. We are making good progress in responding to the recommendations including the commitment to greater Membership and Commission engagement, organizational culture and the diversification of the partnership and funding bases. With the completion of the membership mapping exercise, the rollout of the Enterprise Resource Planning (ERP) system, strengthening of our core capacities and the finalization of programme and project guidelines and standards, all of which are ongoing, we will have responded to all of the recommendations made in the review. I am grateful for the continued engagement of the Council's Governance Committee in helping us along the organizational development and change process.*' • As mentioned above, the Oversight is under-resourced for the job which it is expected to perform, and its reporting lines do not comply with IUCN's own policy or best practice. This is a major organisational weakness.

2007 Review Recommendation	IUCN Response	2011 Review Progress Update
12. Change Management **The DIRECTOR GENERAL establish and lead a change management process that will make an overall diagnosis and analysis of the problems in the Secretariat; will identify the needed changes to operational processes and organizational structures; and will guide management to map out and then implement the changes needed, while ensuring that the impact of changes are subsequently monitored.**	Agreed	**DG demonstrates strong commitment to change management but evidence of progress is limited. Some evidence that Council involved in the change management process through the Governance Committee although limited sense of urgency.** • See 11.1 above. The Review Team have not found a 'concept paper for the Organisational Change and Development Process; unless this is the 'Director General's Plans for Organisation Development and Change.' (August 2008). However, that document sets out next steps, which included a process for sharing the change plan, and convening a Change Leadership Team (see below). There is a consensus that change was somewhat accelerated as a result of this response to the review. • As above, there is some evidence that the Council was involved in the Change Management Process, and the Governance Committee continues to be involved. • IUCN has recently developed a paper entitled 'A Modified Business Model for IUCN: Three Business Lines, Related Programme Priorities, and Organisation'. The paper is a draft, dated 28th July, prepared by the Director General and Deputy Director General, with input from participants at workshops of Global and Regional Directors held on 11 and 19-20 July 2011. Further comments on the paper are provided in Section 3.7.4 of the main report.
12.1 The DIRECTOR GENERAL requests the support of the framework donors to obtain expert consultant advice to support and guide the internal change management process and provide insight on best practice and lessons learned from other organizations relevant to IUCN.	Donors input not required	• IUCN took no action on this recommendation as IUCN felt donor input was not required. However, closer donor involvement might have been beneficial, in terms of bringing in external expertise, and giving the donors better insight into the challenges which are faced by IUCN.
12.2 The Director General obtains the services of a consultant reporting directly to her to provide assistance and advice in managing the transition. The terms of reference of this consultant should emphasize a team-building consultative approach to the change process itself, rather than an expert analysis followed by an externally designed solution.	Agreed, although the external expert or experts will be in a supporting, not leading role, in the change management process	• The consultant was appointed, but was not a good organisational match and the relationship was not continued.
12.3 An Internal Change Management Team should be established to work closely with the Director General and the consultant. The composition of the change management team will include staff with different skills and drawn from different parts of the secretariat. If the change management process includes the regional offices as well as headquarters, some representation from the regions should be included.	Agreed	• Although the 'Director General's Plans for Organisation Development and Change.' (August 2008) proposed the creation of the Change Leadership Team the Review Team have not been able to trace any specific document trail beyond that point. • A small number of interviewees have reported that the team was not successful. This response indicates that the CLT did not survive.
12.4 After an initial diagnostic stage, it is further suggested that the change management process should focus first on improving the operating processes and procedures. This is based on the management principle that if you have the organizational processes right they can overcome sub-optimal structures but if you don't have the processes right there is no organogram that will function optimally.	The change management process will identify activities and results and when they can be achieved, focusing first on quick wins, then medium term changes and finally longer term changes requiring approval of Congress	• This is a weak and confused recommendation, with little guidance on which processes and procedures should be improved. The organisational responses do not suggest that IUCN understood what was required, either. • The Review Team have not been able to find an 'OCD' which is assumed to be an Organisational Change and Development Matrix.
12.5 The DIRECTOR GENERAL should use the change management diagnostic process with other analyses to identify new skill sets needed in the secretariat and reflect these in new recruitment and job descriptions.	Agreed	• See above. There is no evidence of any systematic or structured process of identifying and recruiting new skills. Job descriptions are written as required (and are of good quality), but do not provide an opportunity for a systematic shift in the balance of skills.

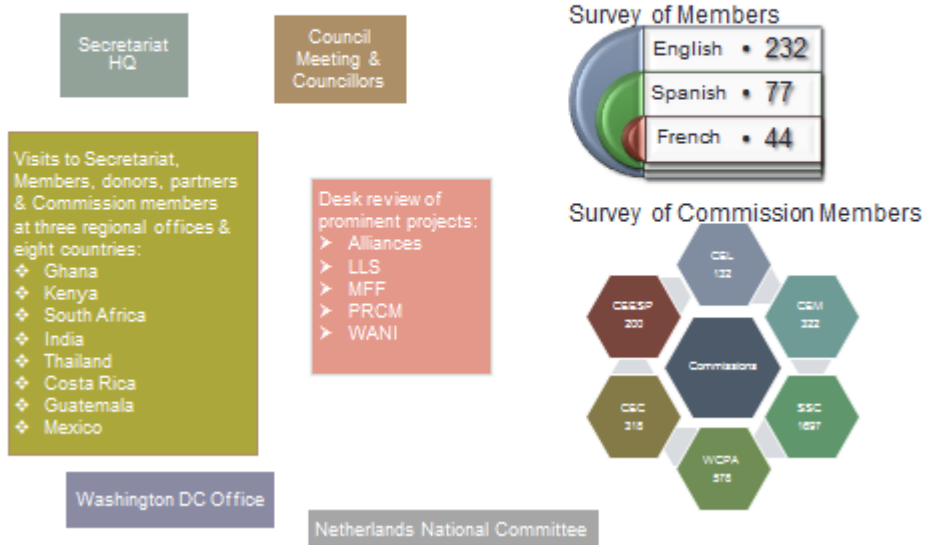| 2007 Review Recommendation	IUCN Response	2011 Review Progress Update
12 6 THE DIRECTOR GENERAL should put into place organizational changes and processes within the secretariat to strengthen the secretariat's capacity to improve services and communications to members as part of the change management process. Where appropriate, input should be sought from members and from others to ensure that changes are based on best practice and meet the needs and capacities of members.	Agreed, will become a part of the Constituency Strategy (see recommendations 1 and 2 for more detail)	• As mentioned under Recommendations 1 and 2, the Constituency Support Group has been restructured and strengthened but no new Constituency Strategy has been drafted.
12.7 A report on the change management process and its financial implications for 2009-2012 should be provided to Council who should also receive regular updates on progress made and remaining challenges.	Agreed	• See above. The DG reports to Council on the change process in general terms. It is not easy to establish whether the financial implications are reported regularly. A search of past Council documents do not suggest that this is an explicit standing item for the FAC.

Annex 5   Donor Meeting PPT Presentation

2011 IUCN EXTERNAL REVIEW

Framework Donors Meeting Presentation

Objectives of the review

1. • IUCN Progress since 2007 Review – organisational model
2. • IUCN Programme – niche, relevance and effectiveness
3. • IUCN Implementation through members and partners

Additional specific objectives

☐ Utilisation of financial resources

☐ Assess programme M&E system

☐

Specific focus areas: (TORs p. 6)

☐ The Business Model

☐ Critical Issues and Challenges

☐ Future Directions

Work accomplished to date

Secretariat HQ

Council Meeting & Councillors

Visits to Secretariat, Members, donors, partners & Commission members at three regional offices & eight countries:
- ❖ Ghana
- ❖ Kenya
- ❖ South Africa
- ❖ India
- ❖ Thailand
- ❖ Costa Rica
- ❖ Guatemala
- ❖ Mexico

Desk review of prominent projects:
- ➤ Alliances
- ➤ LLS
- ➤ MFF
- ➤ PRCM
- ➤ WANI

Survey of Members

English •	232
Spanish •	77
French •	44

Survey of Commission Members

CEL 132

CEESP 200

CEM 322

Commissions

CEC 315

SSC 1697

WCPA 575

Washington DC Office

Netherlands National Committee

Clearer definitions of niche and relevance would reflect IUCN's strengths better

- Niche
  - Process answer – *'convene and bring people (NGO & Govt) together'* – interviews demonstrate this
  - *'Union' & normative role* = uniqueness – far more than convening.
- Relevance – in general 'high'
  - *Relevance* is context specific – differs geographically (situation analysis – global, regional, country),
  - Work of IUCN itself helps define relevance in terms of what is timely and needed

What does the value proposition tell us?

Value Proposition
• Providing credible and trusted knowledge; • Convening and building partnerships for action; • IUCN has local to global and global to local reach; • IUCN influences standards and practices.

Does reflect IUCN well, but …
○ Not well known outside Secretariat
○ Not unique
○ Too complex as a strap-line
○ Has not helped 'brand' IUCN

Effectiveness

10 Global results

❖ Effectiveness has been improved by developing the concept of global results. These have helped align new projects and rationalise old ones through the global portfolio.

❖ Global result approaches have led to one area being dropped

❖ Global results would be more powerful if they have indicators

7 Organisational results

❖ Framework donor agreements include objectives that can be summarised under 7 headings – but these have not been monitored and reported

Effectiveness – progress in hand, further work continuing

- Effectiveness is complex depending on point of view and owing to great diversity in types of results:
  - Physical achievements
  - Knowledge products
  - Behavioural change
  - Policy influencing
  - … Contributing to changes in biodiversity and conservation status
- Good progress in trying to understand and document results – most success at level of projects
- Continuing work needed to develop theories of change and evaluate contribution to conservation

Examples of success

- Members feel greater involvement
- Progress being made at aligning with the global results framework
- Quality of projects good but evaluations of mixed quality
- The draft 2013-2016 Programme links objectives out to global context via the CBD Strategy
- There is an emerging focus on the link from projects to influencing
- Some new and innovative relationships being formed
- There is a shared understanding of IUCN's resource context and need for strategic choices

The 2007 review has been a limited catalyst for change

Recommendation	Assessment	
1. A new compact with members	Members report some improvements; some progress with membership mapping	
2. A new membership strategy	No new strategy but big investment in constituency services	
3. Analysis of intervention assumptions	Theory of change and policy influencing built into project design; less influential in project M&E arrangements	
4. Enhancing capacities for strategic influencing	Piecemeal rather than coherent; event (convention) and project-driven – no formal training or capacity building	
5. Strengthen IUCN as a knowledge organisation	ERP prioritised up to now; need to bring together ICT, scientific knowledge, internal and external communications, marketing, networking, monitoring and evaluation, and lesson learning and sharing. Some evidence of programme learning being more widely shared.	
6. Strengthening the monitoring and evaluation function	PM&E influential but under-resourced for IUCN's complexity and knowledge orientation. Challenge remains in linking operational planning to the quadrennial programme	

Review progress 2

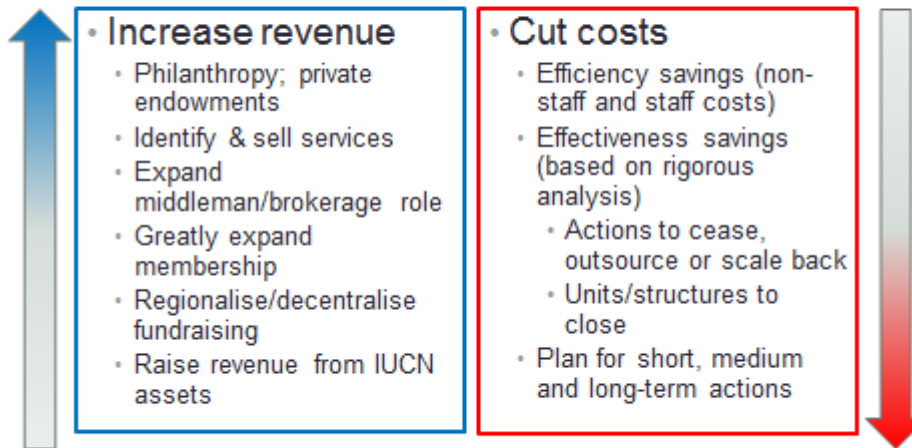| Recommendation	Assessment	
7. Enhancing core capacities	There is little evidence of a coherent strategic approach to enhancing core organisational capacities, not found an overall skills needs assessment.	
8. Transforming the project portfolio	Some evidence of change at regional level; prominent projects contribute positive influence if lessons shared. Tension with project financing model.	
9. Enhancing donor support	Directed at framework donors but no response. Objectives in framework agreements lack indicators and not monitored.	
10. Diversifying the partnership base	Some progress in exploring new funding partnership ideas; HQ-led, not building on regional opportunities; scope to work more closely with members; need to link to programme strategy.	
11. Strategy & planning coherence and follow-up	Poor quality of linkage between global result areas and cost centre level work plans. Prioritisation not transparent; under pressure from governance processes. Draft Business Strategy good, but no follow-up.	
12. Change management	DG shows strong commitment to change management, but current progress is limited. There is some evidence that the Council was involved in the Change Management Process, and the Governance Committee continues to be involved. Where is the sense of urgency?	

Reflections on implementation of the 2007 Review

❖ Recommendations relevant but very detailed and not prioritised

❖ Consensus that the recommendations accelerated change but were not strategically sequenced

❖ Stronger change seen in global programme planning & managing for results

❖ Slower progress in organisation-wide reform

❖ Constraints arising from business and financing model not adequately addressed given current global context

Limitations of the business model

- Current model is unsustainable
  - Framework funding has enabled expansion in Secretariat posts; but ...
  - Chasing project funding has probably led to:
    - distorting staff priorities
    - staff working on projects to earn funds to cover their salaries so they can work on non-project activities (more important to IUCN)
    - adversely impacted on credibility (IUCN being seen as just another implementing NGO chasing funds);
    - affected delivery of services to Members/relations with Members (competition rather than working together)
  - Value added by Members and Commission members not well recognised or reported
  - Single business model probably not suited to all IUCN products and regions
  - IUCN recognises the challenge and will need support to change

Scope for reform

· Increase revenue
- Philanthropy; private endowments
- Identify & sell services
- Expand middleman/brokerage role
- Greatly expand membership
- Regionalise/decentralise fundraising
- Raise revenue from IUCN assets

· Cut costs
- Efficiency savings (non-staff and staff costs)
- Effectiveness savings (based on rigorous analysis)
  - Actions to cease, outsource or scale back
  - Units/structures to close
- Plan for short, medium and long-term actions

Evolve the Business Model

- Refine business model(s) to reflect IUCN products, service provision and country settings
  - Knowledge products and outcomes
  - Results on the ground
  - Working with Members and Commissions

Member & partner engagement

Example from ESARO

ISSUE	CAPACITY	INTEREST	IUCN RESPONSE
Transboundary NRM related to livelihoods and conservation	Strong	High	Facilitate donor, member, partner and commission engagement
Climate change REDD+	Some	High	Build capacity – facilitate members meetings / members twinning N-S idea
Green economy – macro-economic issues assoc. with trade	None	Very little in existing membership (right membership issue?) but emerging issue for strategic partner such as ZA govt	Membership recruitment drive
CONCLUSION – membership engagement strategy in place with appropriate response from IUCN. Interesting to note that none of the IUCN responses involves them implementing projects / programmes on the ground. Rather the logical conclusion from the strategy is that IUCN should implement member capacity building if they are to implement projects at all.			

Change is important for IUCN

Purpose → Business model → Role of donors → Change

- Can a verifiable purpose be established for IUCN?
- What do donors regard as the unique niche for IUCN?
- Would an improved framework donor template help empower urgency within IUCN?
- Do managers have a better grip on the programme under current results formulation & reporting?
- How can IUCN measure and improve the quality of its influence?

END

Annex 6   Country Visit Checklist

Question	Sub-Question	Organisational Result Areas	Country visit findings
Area 1: Progress since the last external review			
To what extent has IUCN managed to optimize its organisational model to create a more effective and efficient organisation?	To what extent have the recommendations of the 2007 External Review been effectively implemented?	✓	
	Which recommendations have not been effectively implemented? Why?	✓	
	Case history of the establishment of the office: • Who undertook the set-up? • How long has the office been in existence? • Has it won more projects since? • Does it have an ongoing relationship/what is the relationship with the regional office? • Does it have a relationship with the business development part of the organisation? • What will happen when the current project funding comes to an end?		
	Human resource management arrangements • Terms and conditions of appointment of staff - do they follow IUCN general		

Question	Sub-Question	Organisational Result Areas	Country visit findings
	HR policies and procedures? • With whom do they link (e.g. is there an HR focal point who provides advice and/or monitors HR activities)?		
	To what extent have changes to IUCN's strategies, programmatic approach (including value proposition[4]), organisational structure and general management (including planning, budgeting, implementation, etc.) contributed to the optimization of effectiveness and efficiency?	✔ Greatly sharpened focus (Clarity and realism) Better integration and understanding of the complex interface between the environmental, economic and socio-cultural components of sustainable development (integration)	
	Financial management: • How do they budget, spend and report? • What is the interface with HQ and Regional financial management systems?		
	To what extent has the system's underpinning planning, monitoring and evaluation led to effective planning, reporting and evaluation?	✔	
	Information and IT:		

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[4] Four features of the value proposition: 1. Providing credible and trusted knowledge; 2. Convening and building partnerships for action; 3. IUCN has local to global and global to local reach; 4. IUCN influences standards and practices.

Question	Sub-Question	Organisational Result Areas	Country visit findings
	• How would they describe/rate their current MIS and IT? • Can they tell us what is happening with ERP? And how it will affect them?		
	Knowledge management: • To what extent does knowledge management operate at the project level?		
	To what extent have changes in internal communications contributed to improvements in effectiveness and efficiency?	✓ Better communication of important conservation messages (Visibility)	
	To what extent is IUCN considered good value for money and cost effective?		
	How does the current business model contribute to the optimization of the organisational model, effectiveness and efficiency?	✓	
	To what extent has IUCN been successful in contributing to the aid effectiveness agenda? What factors prevent IUCN from effectively contributing?		
Area 2: Niche, relevance and effectiveness of delivery			
How relevant and effective is IUCN's Programme?	How relevant is the Value Proposition to the constituency of IUCN?	✓	

Question	Sub-Question	Organisational Result Areas	Country visit findings
To what extent has IUCN been effective in influencing policy and decision makers in specific instances?	In what ways has IUCN been effective?	✓ Easier illustration of IUCNs programme contribution to conservation and sustainable development (effectiveness) Clearer demonstration of how IUCNs strategy of knowledge empowerment and governance are joined and how these elements are used to influence effective biodiversity conservation at all levels while at the same time applying policy lessons to inform practice (influence)	
	What are the factors of success and key challenges in these cases?	✓ Better integration of the work of the secretariat and the commissions on the delivery of the shared results (efficiency)	
To what extent have IUCN Regional Offices been effective in helping deliver conservation results and policy influencing?	To what extent are the (selected) IUCN Offices relevant to local needs?	✓	
	In what ways has IUCN been effective in delivering conservation results and policy influencing through Regional Offices?	✓	
Area 3: Membership engagement			
To what extent has IUCN	What are examples of good practice in	✓	

Question	Sub-Question	Organisational Result Areas	Country visit findings
successfully engaged the Membership directly and through National and Regional Committees?	engaging the Members? Background to nature of your IUCN involvement – in country, regionally, with Sectretariat? What has changed in terms of membership engagement since 2007 Review?	Vastly improved mechanism for engaging members in delivering programme results (engagement)	
	What changes or proposed changes to governance structures will or do enable Membership engagement?	✔	
	What are the factors that encourage or discourage Membership engagement?	✔	
	What do you get from being an IUCN Member / Partner / Commission Member? – benefits to individuals		
	What do IUCN Member / Partner / Commission Members contribute? – IUCN benefits		
	How influential is IUCN on policy / policymakers?		

Annex 7   Council Meeting Approach

Approach

RG and UB to conduct intensive engagement over 1 day – Monday 23 May – so as to minimise disruption to Council members. Process of engaging small groups of specific council members to discuss 6-10 focussed topics / questions.

Alex to confirm whether it's possible to ask some key Council members to drop out of the main sessions for 30 mins individually so we could have a programme of one-to-one meetings running alongside the Council.

If this is acceptable, the shortlist of those for one-to-ones would be:

- Chair/Dep Chair of the Finance Cttee
- Chair/Dep Chair of the Policy and Prog Cttee
- At least three commission chairs
- Other key players as advised by Alex

Additional activities – Tuesday 24 May:
- UB day 2 - Observing some sessions - but not too much of this.
- UB day 2 - fact finding follow-ups (finance, oversight, fundraising) - if these secretariat people are absorbed in Council business for the whole period

Key questions

1. To what extent does council address key strategic / governance issues that relate to IUCN's financial sustainability / 'business model'?

2. How much time is devoted to solving these 'big picture' issues both during council meetings and outside of it?

3. Who is responsible for defining the key overarching issues facing IUCN for council?

4. Do committees on council focus on specific operational issues at the expense of key strategic decisions?

5. To what extent does council share a coherent understanding of IUCN's purpose?

6. How does council assess / measure IUCN's progress against its purpose?

7. Does council have a clear, overall objective-based and time-bound workplan?

8. Is council an effective governance body similar to that played by a company's board in the private sector?

9. To what extent are council members aware of, and have discussed, the recommendations of the 2007 External Review?

10. How successful has IUCN been in implementing the recommendations?

11. What is the main underlying constraint that impedes IUCN from implementing key strategic decisions?

12. How can council better support IUCN to implement strategic decisions?

Annex 8　　　IUCN's Strategic Planning Process

This annex presents a background analysis of the documentation and approach taken in the evolution of strategic planning during the 2009-12 Programme. It provides more detail than in Chapter 2 of the report.

Timeline and sequence of documents

The 2007 Review put forward four recommendations that have a bearing on the planning process:

   3. Analysis of intervention assumptions, to articulate strategic influencing

   6. Strengthening monitoring and evaluation to improve reporting on the Union's activities and achievements

   8. Transforming the project portfolio to focus more on strategic influencing, learning, innovation and knowledge management

   11. Strategy and planning coherence and follow-up, for both organisational development and strategic planning

Progress towards these recommendations can be seen in a sequence of documents starting with the 2009-12 Programme. The key documents are listed here with brief comments drawn from interviews with IUCN Secretariat staff:

   1. **IUCN Programme 2009-12** (developed in 2007-08): This is the main strategic document about programme intentions over the intercessional period and is approved by the WCC. It sets out a very broad situation analysis, explains IUCN's unique role as its value proposition, and then outlines its programme as one core and four thematic areas. There is no mention of the support services, nor does the programme document set out the roles of the decentralised offices of the Secretariat, the Members and the members of expert Commissions.
   2. **IUCN Financial Plan 2009-12** (developed in early 2008): The Financial Plan is an IUCN Statutory Requirement (See Statute 88 (e)) and also approved by the WCC. This document is not an action plan or operational plan and is focused primarily on financial income and expenditure. It was put together by the Global Finance team (with input from units) at the beginning of 2008 once the Programme 2009-12 was in an advanced draft stage. Section 2.1 outlines the Programme and Operational Results – at that time there were 6 main Operational Areas/Results which were eventually reduced to 3.
   3. **Guidelines for Operational Planning 2009-12** (developed for 2009, 2010 and 2011): These were developed to enable units to develop their annual workplans against Operational Areas (3) in addition to the Programme areas. It should be noted that 2009 was the first time units had to plan against operational areas and it was also the first time Corporate and Support units (e.g. Finance, HR, Communications, Strategic Partnerships, etc.) had to develop annual workplans. It enabled the entire organization to plan and budget to the same results-based framework. The Operational Plan as it stands now is much more focused on what the *Secretariat* will do rather than the Union as a whole.
   4. **IUCN Business Strategy 2009-12** (developed in early 2009): This document was created to put together the elements of the Programme and Operational Results in a higher level framework and to address some of the past reviews and surveys. It talks about some of the larger operational initiatives IUCN set out to achieve (e.g. ERP and Results-based management) and the funding strategy which are not included in the Programme document.
   5. **IUCN 2011 Workplan and Budget**: This illustrates how the Programme and Operational Areas are used to develop the annual planning and budgeting framework.
   6. **Report on the Implementation of the IUCN Programme 2009-10.** The first attempt to produce a systematic analysis against the results established in the 2009-12 Programme.
   7. **Draft IUCN Programme 2013-16.** The beginnings of the process to develop a programme to submit to the 2012 WCC for approval. It builds on the Programme-based structure adopted for 2009-12 and does not deal with operational support. It does not set out specific objectives under the programmes nor does it indicate the roles of decentralised offices of the Secretariat, the Members and the members of expert Commissions.
   8. **Guidelines for the Preparation of 2013-16 Intersessional Component Programmes.** Explanation of how components (organisational and virtual units of the Secretariat and Commissions) should plan to prioritise and contribute to the Programme objectives, with specific results and targets.

The period since the 2007 Review has been one of great change. For that reason, the documents need to be seen as discrete initiatives in a process of change. There is some inconsistency and incompleteness, but the general trend is of progress towards more coherent strategic planning. Our review of the planning process starts with some observations on terminology and then examines the structure of objectives, development of workplans, framework of results, intervention assumptions and theories of change.

Guidelines for strategic thinking

An ideal strategy document should inform/guide planners and managers on how to respond to issues and what to leave out. In other words how to get from A to B acknowledge strengths and weaknesses in the organisation and how to recognise that some things are best done through partnerships or left for other to do 100%. In IUCN there are three levels of documents that could loosely be called strategic:

- Long term (blue skies future sustainability indeterminate date): Transition to sustainability study
- Medium term (11 year): Vision 2020
- Short term (4 year): 2009-2012 Shaping a Sustainable Future

The first document is really a study of global environmental problems from an environmentalist point of view and points to the breadth of the task. It is not really a strategy document as described above but more a study to stimulate further thinking. This section will therefore focus on the Vision 2020 document and the 2009-12 Programme.

Vision 2020

Page 2 states that "The overall objective of this strategy is to position IUCN as a global player in the fields of conservation and sustainability and ensure that this global platform offers value to IUCN Members, Commissions, partners, and the world at large."

The aims of IUCN's 2020 Strategy are:

- To confirm IUCN's niche, mission and value proposition and to set a mid-term roadmap that guides its Members, Commissions and staff, focuses its programme, defines changes in structure, governance and operations, priorities and approaches to work more effectively;
- To realize the potential of the Union's Members, Commissions and other constituents.

In summary not to make IUCN more effective in relation to the ultimate results of protected nature, and more judicious use of resources but to make the best of what the organisation has at the moment.

The strategy itself is analysed in Annex NN. Using a range of criteria set out in the annex, the strategy lacks clear direction and fails to provide choices and clear objectives. The 2020 document does not empower managers to improve focus. If anything the scope is wider than the previous attempt.

2009-12 Programme "Shaping a sustainable future"

Objectives

IUCN has adopted the concept of a results chain and in that process has started to set out objectives in a clear and structured way. The 2009-12 Programme document establishes a three part structure of objectives: a summary overview clustered into seven objectives that draw together programme and operations in a single entity; statements of global results for the core and thematic programme areas; statements of planned actions incorporated in the narrative for each global result. These are reproduced in Annex NN, Table 1. Collectively, these statements present a powerful summary of what IUCN plans to do. But as a strategic framework there are a number of weaknesses.

- The summary list of seven is very clear and comprehensive, drawing together both programmatic and operational issues. This is the only statement of results that manages to achieve this, so it is a missed opportunity (as discussed elsewhere in this report) that there are no indicators for the objectives and no reporting against them.

- The global results statements represent a considerable achievement for IUCN, as they crystallize a tremendously broad and diverse set of actions into a manageably few set of statements. But the statements are so broad that they are 'permissive' and allow for an open-ended set of activities. In other words, they do not help IUCN prioritise. To achieve that they would need to be supported by indicators with specific targets.
- The planned actions in the 2009-12 Programme document are the least elegant of the three levels, setting out general statements of intent with no details of responsibility, timing or likely outputs and outcomes. Furthermore, they are not used to form the basis of more detailed planning by component programmes. The sections on IUCN's approach in the draft 2013-16 Programme are a significant improvement and are discussed later in this section.

The 2009-12 Programme document succeeds in setting some direction to IUCN's work. The structure of global results helps create a framework for subsequent planning. But the phrasing of objectives is very broad and tends towards statements of intent about activities rather than precision about outputs and outcomes. In this form, the level of detail is not adequate for monitoring and reporting. The programme document introduces a number of new concepts such as the value proposition and value chain but does not develop them as criteria for the programme. And there is a multiplicity of summarising lists that float free without any clear association to the programme objectives (see page 21; figure 4; page 23).

Turning objectives into workplans

At the global level during the 2009-12 intersessional period there are ten programme results and 23 operational support results. These are used as an organising framework for all component programmes. A total of 45 component programmes (eight regions and 37 offices/units/programmes) develop subsidiary quadrennial results that contribute to the global result, and more detailed annual results for which specific activities are planned. Annex NN, Table 2 provides an illustration for Global results 2.1 and 2.2 in ESARO in 2011. By 2011, the third year of the programme period, ESARO had established their fifth and sixth annual results leading to global result 2.1; and 29th to 34th annual results leading to global result 2.2.

The review team has not been able to count the total number of annual results created by all the component programmes, but from inspection of tables in the knowledge networks, the number is many hundreds.

In the component programme plans, annual results and, or activities have budgets assigned to them, but there is no information about responsibility for achieving the results, nor indicators of performance. Furthermore, despite the fact that a large proportion of IUCN's work is project-funded it is not always possible to identify projects in the component programmes and there does not appear to be a direct link between the results and activity statements in the programme plans and the objectives and indicators in project documents.

For example, the ORMA region had 16 active projects during 2011[5] and these represent the primary delivery mechanism for the region. In the ORMA programme plan for the same year, there are 65 annual results for the five thematic programmes and 56 annual results for operational support areas. There is clearly quite a task to interpret project results in terms of the annual result objectives and report both to project donors and within IUCN.

An important test of the utility of the programme plans and results framework is the ease with which performance can be monitored and reported. That is discussed elsewhere in the report.

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[5] 'C budget' information given to the Review team during the regional visit.

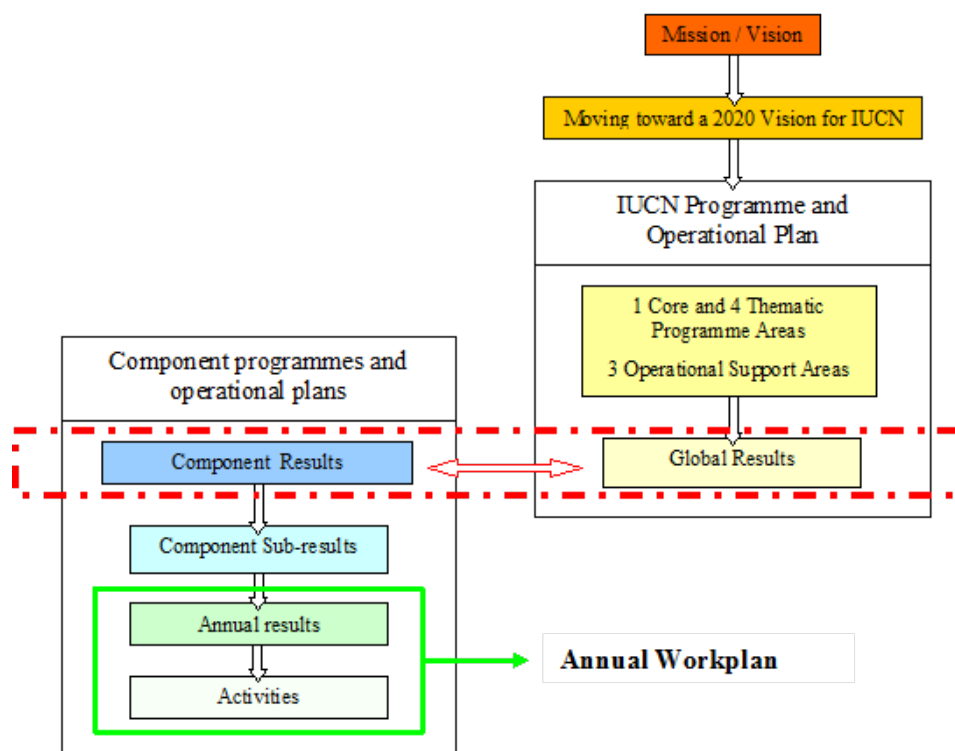Figure NN sets out the structure of component planning as presented by IUCN.

Figure NN

Figure 1: How annual plans relate to global results in the IUCN planning hierarchy

Source: RBM System Update, March 2011, p9

Concluding comments

- The document trail shows how the planning process has developed. There is a clear evidence of progress in creating a coherent hierarchy of results supported by comprehensive and thorough guidelines. Plans now exist for support functions as well as programme areas.
- There is a greater elaboration of situation analysis and theory of change in the draft 2013-16 Programme, though more work is needed on three of the five TPA.
- The plans demonstrate greater focus on results (programme results reduced down to 10 in 2009-12 and 12 in 2013-16 compared with 26 in the previous intersessional period).
- Whilst progress has been made, there is further scope to improve planning, much of which can be done before the 2012 WCC.
- The draft programme does not yet set out a clear plan for integrating the work of the Secretariat, Members and expert Commissions.
- The global result statements are still permissive and do not provide clear guidance to help IUCN prioritise. Improvements can be made both to the wording of the results and by defining indicators that set specific targets.
- The programmes plans are highly detailed and do not provide framework donors or senior managers with an easy to follow implementation plan. The programme plans require a considerable effort from the regions and other component units, yet as is shown in another part of this report do not give rise to a monitoring system that delivers high quality summary analysis about IUCN's performance.

Annex 9 Prominent Projects Desk Review – Comparative Summary

Y	Yes	
M	Mostly	
L	To a limited extent	
N	No	
N/A	Not available	

Application of Theories of Change to Project Planning & M&E Processes (Recomm No 3)

Application to Project Planning

*1.1: Is a theory of change perspective explicitly integrated into the **situation analysis** of the programme/project's design documentation.*

	WANI 2	LLS	MFF	PRCM	Alianzes
*a. Does the situation analysis explain **what** type of change is desired and **why?***	Y	Y	Y	Y	Y
*b. Does the situation analysis explain what is required to bring about a desired change and the **underlying assumptions**?*	M	Y	M	M	L
*c.. Does the situation analysis show the **pathway of change** (from actions to outcomes) in terms of why change is expected to happen in a particular way?*	Y	Y	Y	Y	Y
d, If the programme / project's design documentation has been updated is there evidence that the theory of change perspective is more explicitly reflected in the newer versions?	Y	N/A	Y	N/A	N/A
Overall	Y	Y	Y	Y	Y

Application to M&E Plans and Processes

1.2: Is the theory of change perspective explicitly integrated into programme and project M&E plans and processes?

a. Is the theory of change clearly articulated in the programme design documents or will evaluators need to unpack it from the programme or project documentation?	M	L	M	L	M
b. Does the monitoring system include some form of risk assessment in terms of the changes to the project's underlying preconditions or assumptions?	N	N	M	L	N
c. Do project or programme evaluations test the validity of these preconditions?	Y	L	M	L	M
d. Do programme and project evaluations test the validity of the pathway of change – eg. effectiveness and how are outputs converted into outcomes and results?	Y	M	Y	L	Y
e. Do the M&E plans and processes include indicators which can be used to measure outcomes and are appropriate in terms of conformity with SMART criteria?	N	N	M	N	Y
f. Does the evaluation plan for the programme differenciate between short, medium and long term outcomes and when these results should be evaluated (i e when are they expected to materialise).	N/A	Y	N	N	Y
Overall	Y	L	M	L	Y

2. Strengthening the M&E function (Recomm. No 6)

2.1 Evidence of Strengthening and Improvement of M&E functions and resources

	WANI 2	LLS	MFF	PRCM	Alianzes
a. Is the M&E plan specified for the programme and project adequate, clearly set out and commensurate with the needs of the programme/donor?	M	N	Y	N	Y
b. Is there evidence of monitoring being conducted for each component of the programme?	Y	L	Y	L	Y
c. Does programme monitoring incorporate the measurement of the project's influence on policy?	Y	Y	Y	L	M
d. Is there any evidence of an improvement or strengthening in the M&E function or resources over time eg. improvements in the indicators used, more evaluations commissioned, or others etc	Y	L	M	N	Y
e. Is there any evidence that the recommendations of evaluations are taken on board and that the feedback mechanism is working effectively or more effectively?	L	N	Y	N/A	Y
f. Is there a clear baseline for the project/programme against which results can be measured?.	Y	N	Y	N/A	M
g. Does the monitoring system report on gender disaggregated data?	Y	Y	Y	N/A	Y
h. Do evaluation reports reflect on the gender dimensions of a project in terms of specific impacts for example?	N	N	Y	N/A	Y
i. Do monitoring reports make any reference to "member engagement" in programme implementation?	Y	N	M	N/A	L
j. Are there any indicators to measure member engagement?	Y	N	M	N/A	Y
Overall	Y	L	Y	L	Y

3. Other Recommendations

3.1 Enhancing capacities for strategic influencing (Recomm 4)

	WANI 2	LLS	MFF	PRCM	Alianzes
a. Does the regional situation analysis include an assessment of emerging and critical policy developments affecting conservation?	L	L	M	N	L
b. Does the project documentation provide details on the policy baseline?	M	L	M	N	L
c. Do the programming documents indicate how the practice – policy influencing loop will work?	M	Y	M	N	M
Overall	M	Y	M	N	M

3.2 Strengthen IUCN as a knowledge organisation (Recomm 5)

	WANI 2	LLS	MFF	PRCM	Alianzes
a. Is there any evidence on how the knowledge developed by a programme or project will be used in the future?	Y	L	Y	Y	Y
b. Is there any evidence that the knowledge developed in a programme or project is shared more widely within IUCN or its members.	Y	L	Y	L	Y
c. Do thematic programmes identify clearly key learning questions to focus learning activities?	N/A	M	M	N/A	N/A
Overall	Y	L	Y	M	Y

3.3 Transforming the Project Portfolio (Recomm 8)

	WANI 2	LLS	MFF	PRCM	Alianzes
a. Does the project or programme **explicitly** define strategic influencing priorities and activities?	Y	Y	Y	Y	Y
b. Does the project contain an explicit and convincing policy influencing strategy?	M	Y	?	Y	L
c. Is there any evidence of the project appraisal system applied – for example in the revision of the project proposal following comments?	L	N	Y	N/A	Y
d. Does project documentation identify what is the added value of IUCN's involvement in the project?	L	Y	N	N/A	Y
e. Is there any evidence of joint planning of global programmes and regional initiatives?	Y	Y	Y	Y	N/A
f. Is there any evidence of joint implementation of global programmes and regional initiatives?	Y	Y	Y	L	N/A
g. Do Component workplans clearly show how and if possible which members will be involved in the implementation of the programme?	L	N	?	N/A	N/A
Overall	Y	Y	Y	Y	Y

4. Other PM&E Issues to be tested? (From IUCN PM&E Docs)

4.1 Application of IUCN's Results Based Management Approach

	WANI 2	LLS	MFF	PRCM	Alianzes
a. Is there evidence that project evaluations are driven by donor preferences rather than those of IUCN?	N/A	N	N	N	N
b. Is there evidence that project evaluations do not always meet the needs of IUCN in terms of assessing IUCN's influence over policy, behaviour and governance?	N/A	N	N	N	N
c. Are evaluations conducted at regular intervals – for example mid-term and final?	Y	Y	Y	L	Y
d. Is the system of project management set out in the project documentation adequate?	Y	Y	Y	L	Y
e. Is the monitoring system based on self-reporting?	Y	Y	M	Y	Y
f. Does the monitoring system also include verified reporting?	N	N	Y	N	L
g. Is there a proper classification of activities and results?	Y	Y	M	N	Y
h. Is there evidence that monitoring results feed into learning and adaptive management?	N	L	M	N	Y
i. Was a management response prepared in response to addressing evaluation report recommendations?	Y	N	Y	L	Y
Overall	Y	L	M	N	Y

Annex 10   Prominent Projects Desk Review – Project Analysis

(WANI – LLS – MFF – PRCM – Alianzes)

1   WANI

Background Information

Name of programme / project: Water and Nature Initiative (WANI) – Phase 2
Core /Thematic Area: Water Management
Type of project: Small Medium Large

Documents Reviewed:
 	
 • **Internal Assessment Process for WANI – 2**
 	
 • **WANI – 2 Evaluation**
 	
 • **Water and Nature – Phase 2**
 	
 • **WANI – 2 Operational and Planning Framework**
 	
 • **WANI 2 – Baseline Report**
 	
 • **IUCN –WANI – PART 1- Strategy – December 2000**
 	
 • **IUCN – WANI – Part II – Preselected Projects, December 2000**
 	
 • **Global Workplan M&E**
 	
 • **WANI-2 – PM&E logical framework**
 	
 • **Documentation for two projects (which were randomly selected for project level assessment)**
 	
   o **RUVU River Project Summary and Logframe**
 	
   o **Indian Himalayas Project Summary and Logframe**

Proforma completed by: Valerie McDonnell-Lenoach

1. **Application of Theories of Change to Project Planning and M&E Processes (Recomm No 3)**

Application to Project Planning	Yes	Mostly	To a limited extent	No
*1.1: Is a theory of change perspective explicitly integrated into the **situation analysis** of the programme/project's design documentation.* a. Does the situation analysis explain **what** type of change is desired and **why?**	✔			
b. Does the situation analysis explain what is required to bring about a desired change and the **underlying assumptions**?		✔		
c.. Does the situation analysis show the **pathway of change** (from actions to outcomes) in terms of why change is expected to happen in a particular way?	✔			
d, If the programme / project's design documentation has been updated is there evidence that the theory of change perspective is more explicitly reflected in the newer versions?	✔			

Purpose: To determine whether the rationale for the intervention is sufficiently and clearly justified in the situation analysis for the programme / project.

Yes: A *Yes* answer needs to clearly explain and provide evidence of the following: the underlying assumptions, the reasons why the project will bring about the desired change and the pathway of change.

No: A *No* answer would not provide a clear justification for the intervention based on the situation analysis which would be insufficient to understand why a particular course of action was selected.

Mostly: situation analysis does take the theory of change perspective into account but not in a sufficiently explicit or detailed way to warrant a yes

To a limited extent – some elements of the situation analysis do take the theory of change perspective into account but to a very limited extent.

Explanation and documents assessed as evidence of this:

a. Yes - The situation analysis is documented in the Programme Document – Water and Nature Phase 2 details the context for WANI – 2 provides information on the gaps and expressed needs as well as reporting on the results and lessons from WANI – 1. Furthermore a baseline report for WANI-2 was developed in order to see where IUCN is at, in relation to what has already been done under WANI-1and what is envisaged under WANI – 2 – an examination of the distance travelled by WANI so far. The strategy employed under WANI-2 was developed on the basis of a priority setting exercise for water conducted within IUCN during 2005-06. An initial set of pre-selected projects originated from local, national, regional and global levels and were developed in close co-operation with project partners, government, NGO, academia and often SMEs at the local level. The review of the two projects included in this assessment (Ruvu River and Indian Himalyas) indicates in the project summary templates the types of changes that are required and why.

IUCN through its Water and Nature Initiative has contributed to building capacities and demonstrating sustainable water management practices. Continued population growth and a rapidly changing economic environment are major factors behind the increased pressure on water resources and ecosystems and lack of good water governance inhibits effective responses to these rising pressures. Like its predecessor WANI -2 is an ambitious programme and the demonstration projects are also seen as challenging in terms of developing institutional capacity and implementing pilot projects aimed at improving the management of river basins.

b. Yes - Mostly. WANI 2 defined the change pathway in terms of what is required to bring about the required changes and defines 8 steps to catalyse the processes of change needed in water governance and management. However the assumptions are not specified in the programme document which sets out the situation analysis and strategic results although are specified in the programme logframe (Annex 2). The Internal Assessment Process for WANI-2 document includes an assessment of the relevance of WANI's concept and assumptions and finds them to be very or highly valid. The programme assumptions need to be articulated in the programme documentation explicitly.

The logframe templates for WANI-2 project proposals do include a section on assumptions. All WANI-2 project proposals are accompanied by a logframe. The assessment of the two projects included in this review concludes that the situation analysis does explain what is required to bring about the required changes and the assumptions are listed in the associated logframes for the projects.

c. Yes – the programme document for Phase 2 defines 4 strategic objectives, 11 strategic results and for the strategic results a number of programme activities. The pathway of change is clearly defined. Moreover change pathways are a fundamental corner stone of the monitoring and reporting scorecard. The pathway of change at the project level was also evidence from the review of the summary project documents and logframes for the Ruvu River and Indian Himalayas projects.

d. Yes – the 2000 Strategy and Pre-selected projects strategy for WANI-1 do not adopt a theory of change perspective in an explicit way showing the link between context, strategic objectives, results and activities. There has been a clear and noticeable improvement in the quality of programme documentation in relation to WANI-2 with the theory of change perspective much more in evidence in the documentation.

Overall assessment: Yes. The theory of change perspective was taken into account in the programme documents for WANI 2 and the rationale for the intervention and the validity of the underlying concept was tested as part of the assessment process for WANI-2. While the pathway of change is detailed in the programming documents, the programming document for WANI-2 does not explicitly state the underlying assumptions. However there is an obvious improvement in the quality of programme documentation from WANI-1 to WANI-2, with a greater focus on the theory of change and also a move towards a greater focus on results away from activities. While WANI-1 was structured around six strategic objectives, WANI-2 focuses on 4 strategic objectives and the corresponding results. Similarly at project level there was evidence from the assessment of the two randomly selected projects that the theory of change perspective was also in evidence in the documentation at the project level.

Follow-up at interviews:

Application to M&E Plans and Processes	Yes	Mostly	To a limited extent	No
1.2: Is the theory of change perspective explicitly integrated into programme and project M&E plans and processes?				
a. Is the theory of change clearly articulated in the programme design documents or will evaluators need to unpack it from the programme or project documentation?		✓		
b. Does the monitoring system include some form of risk assessment in terms of the changes to the project's underlying preconditions or assumptions?				✓
c. Do project or programme evaluations test the validity of these preconditions?	✓			
d. Do programme and project evaluations test the validity of the pathway of change – eg. effectiveness and how are outputs converted into outcomes and results?	✓			
e. Do the M&E plans and processes include indicators which can be used to measure outcomes and are appropriate in terms of conformity with SMART criteria?	**n/a**			✓
f. Does the evaluation plan for the programme differenciate between short, medium and long term outcomes and when these results should be evaluated (i e when are they expected to materialise).				

Purpose: To determine whether M&E plans and processes incorporate a theory of change perspective.

Yes: A *Yes* answer needs to clearly explain and provide evidence of the following: SMART indicators to measure outcomes, specification of short, medium and long term outcomes, risk assessment in terms of the validity of the underlying assumptions on which the programme is based, a "testable" theory of change.

No: none of the above are present in the M&E plans

Mostly: most elements of the above are present in the M&E plans.

To a limited extent – some elements of the above are evident in the M&E plans and processes.

Explanation and documents assessed as evidence of this:

    a.   *Is the theory of change clearly articulated in the programme design documents or will evaluators need to unpack it from the programme or project documentation?* **Yes – mostly**. The theory of change perspective is clearly articulated in the programme documentation and evaluators have a clear framework in terms of objectives and results to examine in the assessment of the programme. However the underlying assumptions should be stated explicitly in the programme documentation.

       The project proposal and scorecards provide the framework for the elaboration of the theory of

change at project level, with the situation analysis, project goals and outcomes all included in these documents. Therefore the theory of change will not need to be unpacked at project level,

    b. Does the monitoring system include some form of risk assessment in terms of the changes to the project's underlying preconditions or assumptions?

    No - Although the monitoring scorecard does not include an assessment of or reporting on risk, the summary template for project proposals does provide for the inclusion of 3-5 main perceived risks to the project.

c. Do project or programme evaluations test the validity of these preconditions? Yes – The Internal Assessment Process for WANI-2 did test the validity of the assumptions underpinning WANI-2. All projects are required to prepare M&E plans – there was no evidence available from the review of 2 projects (Ruvu River and Indian Himalayas) that the validity of the assumptions specified in the project logframe was conducted. No other evaluations for WANI-1 or 2 were available for this desk review.

d. Do programme and project evaluations test the validity of the pathway of change – eg. effectiveness and how are outputs converted into outcomes and results? Yes – the WANI-2 Evaluation Plan indicates that the conversion of outputs into desired outcomes will be included in the assessment of effectiveness in programme evaluations. Project level evaluations are led by project and regional teams and are also required to adhere to IUCN guidelines and therefore should also test the validity of the pathway of change.

e. Do the M&E plans and processes include indicators which can be used to measure outcomes and are appropriate in terms of conformity with SMART criteria? No - Indicative indicators are specified in the monitoring and reporting scorecard across nine WANI overall results/outcomes areas. All are not timebound and many are not conforming with the specific aspect of SMART criteria.

 The indicators will be further developed by the projects and included in their logframes which form part of their proposal. Eleven quantifiable results are defined at programme level with a corresponding programme of activities which will generate these results. The link between objectives, results, activities, means and assumptions are clearly shown in the programme level logframe. No indicators are defined at strategic outcome level for the programme.

f. Does the evaluation plan for the programme differenciate between short, medium and long term outcomes and when these results should be evaluated (i e when are they expected to materialise). Not applicable. No programme evaluation was assessed as part of this review. Only the internal assessment of WANI-2 was conducted which is not relevant to this review question.

Overall assessment: Yes – Theory of Change perspective is mostly applied to M&E processes. The latter were severely deficient under WANI-1 although with the Monitoring and Reporting Scorecard to be applied under WANI-2 there is evidence of an improvement in the reporting templates etc although limited evidence on the practical use of these new tools.

Follow-up at interviews:
Were evaluations of WANI-1 conducted (we have reviewed the Final Report but not any evaluations of the first phase)? Were the recommendations of past evaluations implemented? Was a management response prepared concerning the implementation of recommendations.

2. **Strengthening the M&E function (Recomm. No 6)**

2.1 Evidence of Strengthening and Improvement of M&E	Yes	Mostly	To a limited	No

functions and resources			extent	
a. Is the M&E plan specified for the programme and project adequate, clearly set out and commensurate with the needs of the programme/donor?		✔		
b. Is there evidence of monitoring being conducted for each component of the programme?	✔			
c. Does programme monitoring incorporate the measurement of the project's influence on policy?	✔			
d. Is there any evidence of an improvement or strengthening in the M&E function or resources over time eg. improvements in the indicators used, more evaluations commissioned, or others etc.	✔			
e. Is there any evidence that the recommendations of evaluations are taken on board and that the feedback mechanism is working effectively or more effectively?			✔	
f. Is there a clear baseline for the project/programme against which results can be measured?.	✔			
g. Does the monitoring system report on gender disaggregated data?	✔			
h. Do evaluation reports reflect on the gender dimensions of a project in terms of specific impacts for example?	✔			✔
i. Do monitoring reports make any reference to "member engagement" in programme implementation?	✔			
j. Are there any indicators to measure member engagement?				

Purpose: To determine whether there is evidence from the project documentation of an improvement in M&E.

Yes: Clear well specified M&E plan and definitive and substantial evidence of improvement in M&E from a review of the monitoring data and evaluation reports for the project.

No: none of the above

Mostly: M&E plan exists and significant improvements are evident in M&E systems.

To a limited degree – some improvements in M&E plans and processes are evident although further improvements needed in many areas eg monitoring of gender, member engagement etc.

Explanation and documents assessed as evidence of this:

   a. Is the M&E plan specified for the programme and project adequate, clearly set out and commensurate with the needs of the programme/donor? Yes – mostly. The M&E plan is comprehensively elaborated in the WANI-2 Framework for Reporting and Monitoring and the WANI-2 Evaluation document. The plan and the Monitoring and Reporting Score card provides the framework to integrate the measurement of progress from the project level through to the regional

and upwards to the global level. Both qualitative and quantitative information is collected. The WANI-2 proposal template sits underneath the monitoring system with the project logframes providing a clear specification of outputs and outcomes and corresponding indicators.

There were clear deficiencies in the monitoring system for WANI-1 reported in the summary template for WANI M&E which indicates that "at the end of WANI we have a mountain of information and data in various forms over the initiative and this is hard to synthesise. There was no process to track the portfolio against specific indicators or against the agreed plan.

The WANI-2 Evaluation document elaborates the evaluations planned for WANI including an internal assessment process (2010) to take stock of the experiences in implementing WANI-2 to date. This was prepared via internal assessment to assess the effectiveness of the operational model, the relevance and functioning of WANI, as well as the value proposition. A mid-term evaluation of WANI will be commissioned in 2011 (2-3 years after it started) and a further evaluation will be conducted depending on continued funding from DGIS. The proposed plan appears adequate in terms of meeting the needs of the programme. Evaluations are also commissioned at project level (towards the end of projects typically although may have different timescales in accordance with donor needs).

DGIS require a consolidated annual report that is submitted each June – the scorecard approach fits with their requirements and is both a reporting and monitoring tool. There is insufficient evidence to date to test the adequacy of the Monitoring and Reporting scorecard,

b. *Is there evidence of monitoring being conducted for each component of the programme?*

Yes - the monitoring of the programme is conducted at project level, regionally and globally.

c. *Does programme monitoring incorporate the measurement of the project's influence on policy?*

Yes - the monitoring scorecard contains a section called "Policy Scorecard" which details the policy monitoring process. Measuring policy influence and change is based on an already agreed policy influencing cycle. The idea behind the policy scorecard was to ensure that policy implications are made more explicit. Nine areas are defined in the policy scorecard and outputs and outcomes for each will be presented.

d. *Is there any evidence of an improvement or strengthening in the M&E function or resources over time eg. improvements in the indicators used, more evaluations commissioned, or others etc.*

Yes - There is evidence of an improvement in the global M&E framework for WANI as the monitoring and reporting framework was revised for the implementation of WANI-2 (Internal Assessment process for WANI-2). The new framework uses a system of project scorecards to monitor progress against expected results and outputs. A global synthesis scorecard can also be prepared to facilitate the presentation of progress towards goals for a portfolio of projects for example regionally. One of the key advantages of this scorecard is its ability to integrate findings from the local, regional and global levels to report on progress with the delivery of outputs and outcomes. The Internal Assessment document of 2010 asked respondents their views on the scorecards but many indicated that it was relatively early days to assess whether this was a coherent, useful approach although many appreciated the coherence with WANI-1 framework (allowing progress over both phases to be reviewed) and also the fact that the framework was developed using a participatory approach. It was hoped that although the scorecard would be demanding to complete the first time, subsequent iterations would be less arduous to complete. The Final Report for WANI-1 (May 2009) reported that the monitoring and evaluation frameworks were too theoretical, globally too much data was demanded. Moreover there was a need for baselines to be better understood in order to assess outcomes and impacts of the programme. The Final Report for WANI-1 calls for the setting up of a monitoring and reporting system in a simple, structured format. Indeed the WANI-2 monitoring and reporting framework was designed to address the challenges and lessons learnt from WANI-1.The WANI-2 Framework for Monitoring and Evaluation (page 15) indicates that WANI-1 monitoring was mainly geared towards accountability rather than an effort to track results and outcomes and that there was

a clear lack of capacity regionally and at HQ to implement monitoring.

e. Is there any evidence that the recommendations of evaluations are taken on board and that the feedback mechanism is working effectively or more effectively? Yes – to a limited extent. No evaluations were available for review re WANI-1. Following the internal assessment process for WANI-2, a response to the main issues identified in WANI-2 was prepared, although there is no evidence that revisions to programme documents (such as budget change for example) were made following this exercise.

f. Is there a clear baseline for the project/programme against which results can be measured?.

Yes - A baseline report was prepared in 2011 which measured progress to date with the implementation of WANI and defined aims for the next years. The baseline was constructed around the six key themes of the programme. Indeed baseline documents were prepared for the 12 river basins and component themes of WANI-1 and will provide the baseline for the continuation of WANI-1 Basins. Baselines for new projects will be constructed using relevant sections of the projct scorecards.

g. Does the monitoring system report on gender disaggregated data?

Yes - The indicative indicators included in the template for the monitoring and reporting scorecard does include gender focused indicators.

h. Do evaluation reports reflect on the gender dimensions of a project in terms of specific impacts for example? No evidence from the Internal Assessment of WANI-2 proposal reviewed. No other evaluation reports for either phase available in documentation on IUCN KN or sent to review team.

i. Do monitoring reports make any reference to "member engagement" in programme implementation?

Yes – the monitoring and reporting scorecard does include a section (section 7) which reports on IUCN members and partners engagement with project delivery.

j. Are there any indicators to measure member engagement?

Yes – data will be aggregated from the river basin score cards to measure the roles and numbers of IUCN members involved which will reflect member engagement in the project.

Overall assessment:
Yes – There is evidence of improvement in the M&E systems from WANI-1 to WANI-2. There were clearly major deficiencies in WANI-1's monitoring system and its practical application and although there is no definitive evidence available yet from its use, it is hoped that the Monitoring and Reporting Scorecard will lead to an improvement in the monitoring system and the generation of robust data to report on outcomes and results at project level, regional level and then globally across WANI-2 as well as connect with the outcomes from WANI-1.

Follow-up at interviews

Has the M&E system improved since the introduction of the Monitoring Scorecard?

Is there any evidence in practice that the M&E system has improved between WANI-1 and WANI-2.

Level of capacity at project level to implement M&E system?

Is the monitoring data and information gathered in WANI-2 being used in practice?

Is the tiered system to reporting and monitoring via the Scorecard working in practice – from project to regional to global level across the programme?

3. **Other Recommendations**

3.1 Enhancing capacities for strategic influencing (Recomm 4) *a. Does the regional situation analysis include an assessment of emerging and critical policy developments affecting conservation?* *b. Does the project documentation provide details on the policy baseline?* *c. Do programming documents indicate how the practice-policy influencing loop will work?*	Yes	Mostly	To a Limited extent	No
a.			✔	
b.		✔		
c.		✔		

Purpose: To determine whether there is evidence from the project documentation that the regional situation analysis now adequately covers policy issues.

Yes: Regional situation analysis adequately covers policy issues and the policy baseline is defined.

No: none of the above. ✔

Mostly: situation analysis is good but not as complete or detailed to warrant a full "yes".

To a limited degree – some evidence of the above albeit limited.

Explanation and documents assessed as evidence of this...

 a. *Does the regional situation analysis include an assessment of emerging and critical policy developments affecting conservation?*

 Yes – to a limited extent. The situation analysis included in the programme document for WANI-2 is rather general but does explain general issues re policies affecting sustainable water management. The situation analysis section of the scorecard does not reflect on policy although policy monitoring is included in the Monitoring and Reporting Template. The Strategic Objectives, results and sub-results for WANI-2 do clearly include policy influence particularly in relation to Strategic Objective Number 4 – Leadership and Learning. Policy reporting is emphasised in the Monitoring and Reporting Scorecard.

 b. *Does the project documentation provide details on the policy baseline?* Yes – mostly – the WANI baseline report of 2011 does include coverage of the policy baseline for each of the 12 river basins.

 c. *Do the programming documents indicate how the practice*-policy influencing loop will work in practice? Yes mostly. The WANI 2 final programme document (March 2008) demonstrates the linkages between development priorities and ecosystem services established through WANI -2.

Overall assessment: **Yes mostly–** WANI-2 will focus on strengthening the approach to developing

leadership and learning and partnering with leading change management institutions as well as developing new networks, and toolkits which are key elements of the WANI approach to capacity development in relation to strategic influencing.

Follow-up at interviews

Practical experiences of policy reporting and the level of difficulty local partners find in reporting on this aspect.

3.2 Strengthen IUCN as a knowledge organisation (Recomm 5) a. Is there any evidence on how the knowledge developed by a programme or project will be used in the future? b. Is there any evidence that the knowledge developed in a programme or project is shared more widely within IUCN or its members. c. Do thematic programmes identify clearly key learning questions to focus learning activities?	Yes ✔ ✔ n/a	Mostly	To a limited extent	No

Purpose: To determine whether there is evidence from the project documentation of IUCN using the learning and knowledge acquired through projects to enhance its knowledge management functions.

Yes: Learning and knowledge developed in projects is widely shared and used.

No: none of the above

Mostly: To a significant degree.

To a limited extent – some evidence of the above albeit limited.

Explanation and documents assessed as evidence of this:

a. *Is there any evidence on how the knowledge developed by a programme or project will be used in the future?* Yes – Strategic Objective Number 4 focuses on leadership and learning and includes a number of programmetic activities which will create learning networks through help desks and peer to peer support mechanisms, communication and outreach materials to drive change in a number of countries will be developed. The Final Report for WANI-1 indicates that a key component of the WANI learning strategy was the toolkit series which was developed to support learning on how to mainstream an ecosystems approach in water resource management. Translation of the toolkits ensured increase access and uptake. Knowledge transfer and sharing was also facilitated through participation at various international conferences and events. As demonstration projects a learning strategy was integral to WANI-1 and this applied to bothWANI-1 internal teams and project partners and stakeholders. Toolkits, networks and workshops are fundamental to the learning and dissemination approach of WANI.

b. *Is there any evidence that the knowledge developed in a programme or project is shared more widely within IUCN or its members.* Yes – through international conferences and events as well as toolkits and other resources developed with WANI support.

c. *Do thematic programmes identify clearly key learning questions to focus learning activities?* N/a.

Overall assessment: Yes – Knowledge sharing and learning is a key feature of WANI – there is strong evidence of learning and knowledge sharing being a key component in the implementation of WANI-1 and continues to be emphasised through Strategic Objective Number 4 in WANI-2.

Follow-up at interviews

Evidence from the field on the value of the toolkits developed with WANI support.

3.3 Transforming the Project Portfolio (Recomm 8)	Yes	Mostly	To a limited extent	No
a. Does the project or programme **explicitly** define strategic influencing priorities and activities?	✔			
b. Does the project contain an explicit and convincing policy influencing strategy?		✔		
c. Is there any evidence of the project appraisal system applied – for example in the revision of the project proposal following comments?			✔	
d. Does project documentation identify what is the added value of IUCN's involvement in the project?			✔	
e. Is there any evidence of joint planning of global programmes and regional initiatives?	✔			
f. Is there any evidence of joint implementation of global programmes and regional initiatives?	✔		✔	
g. Do Component workplans clearly show how and if possible which members will be involved in the implementation of the programme?				

Purpose: To determine whether there is evidence from the project documentation of IUCN being more focused on strategic influencing, learning, innovation and knowledge management functions and has a more coherent project portfolio.

Yes: Evidence of the project portfolio clearly demonstrating the strategic influencing objectives and activities and added value of IUCN's involvement.

No: none of the above

Mostly - quite a lot of evidence although not as complete or detailed we needed to warrant a full yes.

To a limited extent – some evidence of the above albeit limited.

Explanation and documents assessed as evidence of this:

a. *Does the project or programme **explicitly** define strategic influencing priorities and activities?* Yes – Strategic Objective Number 4 Leadership and learning focuses on this aspect at programme level. There is provision in the monitoring scorecard for policy reporting and the latter indicates that for WANI-2 there is a need for policy implications to be more explicitly reported – hence the policy scorecard.

b. *Does the project contain an explicit and convincing policy influencing strategy?* Yes – mostly. The way the programme is expected to influence policy is shown in the programme document (mainly Objective number 4) and the monitoring of how this happens in practice will be conducted via the policy scorecard which defines the 9 steps in the policy cycle and presents examples of policy products.

c. *Is there any evidence of the project appraisal system applied – for example in the revision of the project proposal following comments?* Yes to a limited extent– an appraisal of the WANI-2 concept was conducted in the Internal Assessment of WANI-2 document. There was no evidence available to indicate how the projects included in WANI-2 were pre-selected.

d. *Does project documentation identify what is the added value of IUCN's involvement in the project*? Yes- to a limited extent. The added value resulting from the knowledge generated by the implementation of the first phase of WANI is clear throughout the programme documents for WANI-2. What is less clear is the explicit statement of the added value of IUCN involvement although page 3 of the Executive Summary of the main programme document for WANI-2 does indicate that IUCN by working with its members and partners is well positioned to expand progress from demonstration sites and create broader-scale impacts on water-related targets for development.

e. *Is there any evidence of joint planning of global programmes and regional initiatives?*

Yes- the strategy for WANI-2 was developed following a priority setting exercise for Water conducted within IUCN, inputs from WANI-1 mid-term evaluation as well as consultations with members and partner organisations. The strategy proposed was a direct response to demand expressed by partners and IUCN members at local, provincial, national, regional and global levels.

f. *Is there any evidence of joint implementation of global programmes and regional initiatives?*

Yes - Regional implementation teams consist of staff from partner organizations, IUCN members and the IUCN secretariat who will have full responsibility and accountability for the implementation of the strategy. WANI is funded not only by DGIS but also by other donors and partners eg Howard G. Buffett Foundation.

g. *Do Component workplans clearly show how and if possible which members will be involved in the*

implementation of the programme? Yes – to a limited extent. This is not evident from the programme documentation for WANI-2. Project workplans are required to cover the roles and responsibilities of partners as well as project management arrangements.

Overall assessment:
Yes - There is some evidence to suggest that from the project documentation WANI-2 is now more focused on strategic influencing, learning, and knowledge management functions. Certainly the policy influencing dimension is more explicitly stated in WANI-2 documentation.

Follow-up at interviews

Is there any evidence of global programmes and regional initiatives being better co-ordinated and more coherent?

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4. **Other PM&E Issues to be tested? (From Review of IUCN PM&E Docs)**

4.1 **Application of IUCN's Results Based Management Approach**	Yes	Mostly	To a limited extent	No
a. *Is there evidence that project evaluations are driven by donor preferences rather than those of IUCN?*	n/a			
b. *Is there evidence that project evaluations do not always meet the needs of IUCN in terms of assessing IUCN's influence over policy, behaviour and governance?*	n/a ✔			
c. *Are evaluations conducted at regular intervals – for example mid-term and final?*	✔			
d. *Is the system of project management set out in the project documentation adequate?*	✔			✔
e. *Is the monitoring system based on self-reporting?*				
f. *Does the monitoring system also include verified reporting?*	✔			✔
g. *Is there a proper classification of activities and results?*	✔			
h. *Is there evidence that monitoring results feed into learning and adaptive management?*				
i. *Was a management response prepared in response to addressing evaluation report recommendations?*				

Purpose: To determine progress in the implementation of IUCN's results based management system (Programme Cycle Management Unit Paper March 2011, "Results Based Management at IUCN: Planning Monitoring and Evaluation").

Yes: Evidence that implementation of IUCN's results based management system is progressing based on improved monitoring systems incorporating more independently verified data, project evaluations are more consistent and can provide evidence to feed into IUCN's results chain and project management standards have improved.

_No_: none of the above

Mostly – quite a lot of evidence of the above.

To a limited extent: some but limited evidence of the above.

Explanation and documents assessed as evidence of this:

a. _Is there evidence that project evaluations are driven by donor preferences rather than those of IUCN?_ No evidence that evaluation plans are driven by donor preferences rather than those of IUCN. The workplan for the Global M&E indicates that there will be ongoing evaluation of M&E plans developed by projects. The Monitoring and Reporting Scorecard conforms with the reporting requirements of the donor DGIS.

   WANI is supported by DGIS and benefits from co-finance from a range of donors including large, small, government and non-governmental organisations, including UNDP, EU and SIDA in particular. There is no evidence from that evaluations are driven by donor preferences rather than needs of IUCN.

b. _Is there evidence that project evaluations do not always meet the needs of IUCN in terms of assessing IUCN's influence over policy, behaviour and governance?_ No evidence at this stage as other than the internal assessment process for WANI-2 no evaluations exist at this stage for WANI 2. An evaluation of WANI-2 was to be commissioned in 2011. The Final Report for WANI-1 does appear to provide the feedback required by IUCN in terms of lessons learnt from WANI 1 and the outcomes and results of the first phase of the programme.

c. _Are evaluations conducted at regular intervals – for example mid-term and final?_ Yes- a regular programme of evaluations are planned at both mid-term and final stages of WANI-2. The Final Report for WANI-1 provides evidence on the lessons learnt between 2001 and 2008, a summary of the outcomes achieved and detail on the transition from demonstration results to impacts.

d. _Is the system of project management set out in the project documentation adequate?_ Yes- There is a short summary in the main programme document for WANI-2 of planned programme management arrangements at three levels- advice, co-ordination and implementation. The programme management arrangements for WANI-2 benefit from the experience gained in the management of WANI-. Further information on the management of the global portfolio of WANI-2 is provided in WANI-2 Operational and Planning Framework which provides information on the approach to integrated portfolio management.

   At project level the project management arrangements are detailed in the summary template for projects. The latter also includes a section on partnerships and membership engagement. The internal agreement between IUCN and the project partners details the financial management, reporting and accounting procedures for the project.

e. _Is the monitoring system based on self-reporting?_ Yes – projects will be required to prepare the Monitoring and Reporting Scorecard for their projects.

f. _Does the monitoring system also include verified reporting?_ No – there is no evidence of verified reporting in place although M&E plans at the project level are evaluated and there is an M&E helpdesk to facilitate consistency in the preparation of the M&E tools and their synthesis at global level across the portfolio of WANI projects.

g. _Is there a proper classification of activities and results?_ Yes – at programme level these are outlined in the main programme document and at project level in the logical framework matrices for projects. Two

projects were reviewed – Ruvu River and Indian Himalayas – and there is a proper classification of activities and results.

h. *Is there evidence that monitoring results feed into learning and adaptive management?* No, not yet – in the framework of WANI-1 there were evident problems with the quality of the monitoring data and the system. The Final Report for WANI-1 (page 58) reports that "The Monitoring and Evaluation Frameworks were too theoretical. Globally too much data was demanded or generated and there was no effective, efficient, regular mechanisms for translating this into communication outputs or useable monitoring data". The system of Monitoring and Reporting scorecards was devised as a means to correct these deficiencies and to allow the collation of monitoring data which can feed into learning and adaptive management.

i. *Was a management response prepared in response to addressing evaluation report recommendations?* Yes – the Internal Assessment process for WANI-2 document does include a management response to the issues identified although there is evidence that the issues were not taken in account in terms of the revision of the programme documentation in the light of the comments raised.

Overall assessment: Yes – there is evidence that the application of IUCN's results based management system is progressing based on the improvements to the monitoring system, regular evaluations planned and adequate project management systems.
Follow-up at interviews

Is there a verification system in place concerning the monitoring data reported by projects?
Value of the M&E help desks – are they used by project teams in practice?

Summary of main findings from Desk Review of WANI-2

Overall assessment of level of progress with the implementation of the following recommendations:

Recommendation No 3 – Yes this recommendation is being implemented. There is evidence that the theory of change perspective is being explicitly integrated into the situation analysis of the programme's documentation for WANI-2 as well as in the project level documentation. The theory of change is now being mostly applied to M&E processes for WANI-2 (via in particular the new tool – the Monitoring and Reporting Scorecard) although there is limited evidence to date on its use in practice. There is evidence of a considerable improvement in M&E systems and tools from WANI-1 to WANI-2. The first phase of the programme suffered from major deficiencies in the monitoring and reporting systems.

Recommendation No 4: Yes mostly - there is evidence that this recommendation is being implemented with the Strategic Objectives, results and sub-results for WANI-2 including policy influence as well the development of capacities for strategic influencing an integral part of WANI-2 Strategic Objective Number 4- Leadership and Learning.

Recommendation No 5: Yes – there is evidence that the knowledge and learning developed in the framework of WANI-1 is being shared and used by IUCN both internally and with external partners and stakeholders. Learning remains an integral part of WANI – the series of toolkits developed under WANI-1 were central to this process as well as participation at international conferences and events, networking and other resources developed with WANI support. Since WANI supports demonstration sites it is

essential that learning and knowledge sharing remains a key feature of the programme.

Recommendation No 6: Yes there is evidence that the M&E systems have being strengthened and that this recommendation is being implemented. There were major deficiencies in WANI-1 monitoring and reporting systems and it is hoped that the Monitoring and Reporting Scorecard will lead to an improvement in the monitoring system being applied in the framework of WANI-2 and will allow the synthesis of results and outcomes from project level to regional level and upwards to the WANI-2 global programme level.

Recommendation No 8: Yes – there is evidence that the project portfolio for WANI-2 is focused on policy influencing dimensions, joint planning of programmes and initiatives as well as joint implementation of the latter. The main element of IUCN added value reflected in the programme documentation is defined as the knowledge generated though its experience with the implementation of WANI-1. There is a need for greater detail on the pre-selection process for the projects funded under WANI-2 detailed in the programme documents.

Other PM &E Issues to be Tested: Yes there is evidence from the review of the WANI project that there has been an improvement in the application of IUCN's results based management system. Evaluations meet the needs of IUCN, are conducted/planned to be conducted at regular intervals and management respond to the recommendations proposed. Activities and results are in the main correctly defined in programme and project documentation and project management arrangements are adequately defined.

Overall: There is evidence that WANI-2 has addressed the relevant recommendations of the 2007 External Review and these are being implemented in the main. The quality of the programme documentation and M&E processes have improved from the first phase of the programme (WANI-1 – 2001-2008) to the second phase (WANI 2- 2008-2013) although the application of the Monitoring and Reporting Scorecard needs to be tested in practice across all levels – project, regional and global. There is evidence of a concerted effort to integrate the theory of change perspective into all levels of programme and project documentation, as well as explicitly ensure that the strategic and policy influencing dimensions of the programme are captured (for example through the inclusion of a policy scorecard in the Monitoring and Reporting Template).

2   LLS

Name of programme: Livelihoods and Landscapes Strategy
Proforma completed by: Daisy Macdonald
Documents Reviewed: • Livelihoods and Landscapes Strategy, Annual Report 2008 • Part I – Strategic Overview • Part II – Operational Components • Executive Summary • DGIS Report 2007 • 2008 – Annex 4 – Poverty Objective in LLS • LLS Monitoring Protocol 2008-2010 • LLS Monitoring protocol Template, August 2009 • External Review of LLS, 27 October 2009

Brief Summary of the Programme:

Core /Thematic Area: Poverty Reduction, Markets and Incentives, Governance and Forest Landscape Restoration **Responsible Officer /Department in IUCN:** Stewart Maginnis / Forest Conservation Programme
Type of project: Small Medium Large **Budget:** €16,000,000 (with a leverage target of 4:1)
Programme Start and End dates: 2006-2009
Countries involved: Ghana, Liberia, Uganda, Tanzania, Mozambique, Burkina Faso, Mali, Sudan, Cameroon, Congo Brazzaville, Central African Republic, Burundi, Democratic Republic of Congo, Rwanda, Cambodia, Laos PDR, Thailand, Vietnam, India, China, Indonesia, Brazil, Mexico, Guatemala and El Salvador
Overall Objective: Effective implementation of national and local policies and programmes that leverage real and meaningful change in the lives of rural poor, enhance long-term and equitable conservation of biodiversity and ensure the sustainable supply of forest-related goods and services in line with nationally-defined priorities.
Overall Results: Agreed Programme level Strategic Outcomes **POVERTY REDUCTION** 1: *"Extreme poverty reduced by 25% in three rural areas where the Strategy has programmatic activities."* 2: *"Household incomes, including those of the poorer social clusters, increased by 50% in one-third of the areas where the Strategy has programmatic activities."* **MARKETS AND INCENTIVES** 3: *"Arrangements that facilitate sustainable local trade in forest products for the poor available in at least three countries where the Strategy is active."*

4: *"At least one set of best practice guidelines for the investment in, and management of a forest-related commodity adopted by a major multinational corporation or other investor and promoted as a recognized industry standard or investment criteria."*

GOVERNANCE – FOREST LAW ENFORCEMENT AND GOVERNANCE (FLEG)

5: *"National and sub-national tripartite activities on law enforcement and governance demonstrably reduce by one-third the estimated rates of illegal logging in at least three rural areas where the Strategy has programmatic activities."*

GOVERNANCE: RIGHTS AND TENURE

6: *"The area of land under some form of secure tenure (e.g. owned, leased, long-term management agreement) for local populations over forest-related resources increased by 25% in at least five of the rural areas where the Strategy has programmatic activities."*

TRANSFORMING LANDSCAPES: FOREST LANDSCAPE RESTORATION

7: *"A 10% net area increase in forest-related, locally-negotiated multifunctional land-uses in at least 5 rural areas where the Strategy has programmatic activities."*

8: *"Decision-makers from government (both land-use and non-traditional ministries), civil society and the private sector demonstrate commitment to adopt the concepts, recommendations, tools and approaches generated by the Strategy's activities in at least 3 countries."*

Project Purpose with Objectively Verified Indicators (OVIs): (Outcome indicators)

Poverty reduction

1. % of households (HHs) that move-up in a locally-defined wealth rank (9)
2. Changes in locally selected livelihood dimensions linked to LLS intervention identified by men and by women (i.e. health, education, food security, job creation, water access, new assets, new economic activities, access to credit, etc.) (14)
3. % of income increase from forest resources linked activities (6)

Market and incentives

1. Value of Non Timber Forest Products (NTFPs) generated (i.e. tourism, medicinal plants, bamboo, etc.) (5)
2. % of households (HHs) benefited with new or improved market-oriented activities (5)
3. Variation of prices (3)
4. Sale agreements between local producers and private sector (including cooperatives and associations) and government: volume and price (2)
5. Number of forest management plan considering local communities interest operating (2)
6. Local/community forest organizations establish rules to include greater benefits in the use of forest resources for households belonging to disempowered groups especially women and landless (1)
7. Number of amendment of policies and regulatory frameworks for forest and non timber forest products (i.e. medicinal plants) commercialization revised (4)
8. Ecotourism code of conduct in place and operational:
9. % of local operators applying it
10. Weakest and strongest points of the code (1)
11. Number of major companies that adopt LLS initiatives (e.g. free prior informed consent and tenure assessment as part of their operational principles operating policy (2)
12. Producers of forest linked activities (i.e. wood, pineapple and honey) certified or in process of certification (2)
13. Industry tie up with 5 community groups is developed for forest based enterprise Initiatives (1)

Governance Forest Legislation Enforcement Governance (FLEG)

1. Rate of illegal logging rate (2)
2. Number of multi-stakeholder groups that agree and implement proposals to reduce illegal logging (i.e. fine illegal loggers, patrols enforced, regional spatial plans developed) (5)
3. Guidelines for Chinese enterprises on overseas forest resources development and management have been developed and tested in Africa by key stakeholders (1)

Governance Rights and tenure

1. Institutional arrangements (i.e. collaborative agreements Park authorities-communities, bylaws, soil

conservation structures developed, etc.) to promote increased legal access to forest products to local people are in place (3)
2. Number of households with plots/land/trees registered by a government body (2)

Transforming landscapes
1. Number of reforested has. and benefited HHs (plantation in upper catchment areas, agroforestry, water and soil conservation practices with, etc.) (8)
2. Number of wildlife animals (gorillas, chimp., bongos, etc.) per km2 (3)
3. % increase in average crab catch sizes in sample sites (1)
4. Number of threatened species in the landscape (1)
5. Shared vision for the landscape established through the development of a multi-stakeholder participatory FLR master plan (3)
6. Number of events that discuss LLS lessons and recommendations (2)
7. Number of stakeholders that have implemented activities or develop initiatives incorporating LLS lessons and methodologies (18)

Project Results with OVIs: (Output indicators)

Poverty reduction

1. Number of men and women trained and informed regarding productive activities, soil conservation and use of forest royalties
2. Number of communities support with construction materials, tools, seeds, etc.
3. Number of men and women with access to credit (through IUCN facilitation)
4. Number of market studies for activities with economic potential

Market and incentives

1. Number of men and women trained and informed regarding NTFPs
2. Number of local/community productive organization with minimum management tools available (i.e. strategic plan, business plan, accountability system, etc.)
3. Number of local market and stakeholder mapping studies about use and potential of NTFPs
4. Number of forest management planning participatory process under IUCN facilitation
5. Number of demonstration plots of agroforestry and crops established
6. Number of workshops to discuss and recommend adjustments in benefit distribution with participation of communities, forest departments and other key stakeholders
7. Number of dissemination activities of the adopted rules
8. Number of reports of proposed measures to improve present regulations (i.e. draft regulations)
9. Number of workshops to promote dialogue among key stakeholders (i.e. communities and government)
10. Number of local guides trained
11. Number of tourist package developed
12. Number of landscapes in which a tenure assessment methodology is trialed by a major company
13. Number of companies with which a dialogue on adoption of LLS proposed measures has been initiated
14. Participatory evaluation of good practices
15. Materials on good practices developed and disseminated
16. Exploratory study report

Governance Forest Legislation Enforcement Governance (FLEG)

1. Number of workshops to exchange experiences on controlling illegal logging (at different levels from local to global)
2. Number of IUCN facilitated periodic multistakeholder group meetings
3. PRA and/or GIS landscapes maps prepared with partners and communities
4. Guidelines for Chinese enterprises on overseas forest resources published
5. Companies' staff to test the guidelines trained for.

Governance Rights and tenure
1. Number of roundtables organized to build consensus about institutional arrangements best options
2. Number of draft bylaws
3. Number of draft collaborative agreements

4. Number of dissemination activities with communities and other key stakeholders
5. Number of workshops at local and national levels to recommend measures to resolve tenure conflicts
6. Number of communities supported in preparation of legal documents to register their land/plots

Transforming landscapes
1. Number of local people trained in forest nursery management and plantations
2. Number of community/school nurseries supported with construction material, seeds, etc.
3. Number of FLR demonstration plots
4. Has covered with "fire break" and fire control measures to protect planting sites
5. Studies about number of animals in TNS
6. Inventory of crabs in the mangrove area
7. Local group trained in mangroves monitoring
8. Number of landscapes with local brigades trained, with equipment and operating
9. Number of dialogue platforms developed
10. Number of workshops (or similar activities) to exchange experiences at different levels (from local to global)
11. Number of proposals of how LLS learning can be included in forest policies at local sub-national and national e international levels

5. **Application of Theories of Change to Project Planning and M&E Processes (Recomm No 3).**

Application to Project Planning	Yes	Mostly	To a limited extent	No
1.1: Is a theory of change perspective explicitly integrated into the **situation analysis** *of the programme/project's design documentation.*	✔			
a. Does the situation analysis explain **what** type of change is desired and **why?**	✔			
b. Does the situation analysis explain what is required to bring about a desired change and the **underlying assumptions**?				
c.. Does the situation analysis show the **pathway of change** (from actions to outcomes) in terms of why change is expected to happen in a particular way?	✔			
d, If the programme / project's design documentation has been updated is there evidence that the theory of change perspective is more explicitly reflected in the newer versions?	n/a			

Purpose: To determine whether the rationale for the intervention is sufficiently and clearly justified in the situation analysis for the programme / project.

Yes: A *Yes* answer needs to clearly explain and provide evidence of the following: the underlying assumptions, the reasons why the project will bring about the desired change and the pathway of change.
No: A *No* answer would not provide a clear justification for the intervention based on the situation analysis which would be insufficient to understand why a particular course of action was selected.
Mostly: situation analysis does take the theory of change perspective into account but not in a sufficiently explicit or detailed way to warrant a yes
To a limited extent – some elements of the situation analysis do take the theory of change perspective into account but to a very limited extent.

Explanation and documents assessed as evidence of this:

  f. Yes - Part I - Strategic Overview provides a comprehensive overview of the changes that are needed at programme level and why. The strategy recognises that the changes needed are ambitious as LLS seeks to make a significant and quantifiable contribution to the way in which forests and forest use are perceived by governments, civil society and the private sector. It explains that the approach adopted is based on the experiences of the WANI project and the need for a more comprehensive approach to learning that will engender opportunities for scaling up. The LLS programme is a direct response to the challenge of defining a new and dynamic role for forests in the delivery of the MDG, the WSSD Biodiversity target and national Poverty Reduction Strategies.

  Eight inter-related assumptions or change hypotheses are defined and underpin the sort of tangible changes expected to be delivered by the programme. The strategy emphasises programme level outcomes rather than project level outputs and defines eight strategic outcomes for the programme (covering four thematic areas) that are linked to the sub-outcomes for the geographically focused interventions (specified in Part 2 – Operational Components). However not all sub-outcomes are linked to the eight strategic outcomes. Moreover the sub-outcomes are not quantified although it is indicated that during the 100 day planning process these would be further detailed and agreed with local partners. The strategic outcomes are quantified. A diagram which illustrates these linkages would be very useful although the inter connection between the sub-outcomes and the strategic outcomes is explained in the text of Part 2- Operational components. While the situation analysis for the programme level is comprehensive, at the project level it is confined to a specification of key issues which provides some basis for the suggested activities at project level although is not very detailed.

  g. Yes – Part 2 – Operational Components document explains the sub-outcomes from the

geographic components and how these link to the programme level strategic outcomes as well as the key issues relating to each of the geographically focused components. The situation analysis at the programme level (Part 1 – Strategic Overview) does explain what is required to bring about the desired changes and the underlying assumptions although this level of detail at the geographical component level is missing. Since LLS operates at the programme rather than project level there is evidence on what is required to bring about the required change and the underpinning assumptions. Indeed the programme's achievements will test the validity of these assumptions.

h. Yes – Part 2 – Operational Components shows the links upwards from activities to sub-outcomes and then programme level strategic outcomes with the situation analysis at programme level defined in Part 1: Strategic Overview providing an explanation as to why change is expected to happen overall. Overall change is expected to result from LLS providing a structure and resources to build forest related partnerships and harnessing the involvement of government, civil society and private partners in priority regions to deliver the commitments made in international agreements.

i. Not applicable as such as there was no evidence of change in the programme design, although the LLS Part 1 – Strategic Overview document does emphasise that there was an emphasis on programme outcomes rather than project outputs and that the programme's design was informed by IUCN's experience with the delivery of the WANI project and the Forest Conservation Programme.

Overall assessment:

Yes – overall there is sufficient evidence to indicate that this recommendation has been taken on board in the design of LLS and its programming documents at programme level. At geographical component level this level of detail on the theory of change underpinned by a comprehensive situation analysis which shows the link between all three levels - context, the activities and outcomes – is somewhat deficient. There is a need to build the theory of change perspective more explicitly into the geographical components particularly the link between the context to the specific activities, although it is recognised that Part 2 – Operational Components does refer to the further elaboration of these components following stakeholder interaction using participatory methods as part of the 100 day planning period. It is also interesting to note that although there are no previous iterations of the programming documentation for LLS, that the lessons from other programmes were drawn into the design of LLS (eg WANI) through the adoption of a programme rather than project based perspective as well as stakeholders given the opportunity at the start of the initiative to define outcomes and indicators of progress.

Follow up at interviews:
- Have the geographical components been further defined to elaborate in detail the situation analysis and its links with the activities and sub-outcomes specified?

Application to M&E Plans and Processes	**Yes**	**Mostly**	**To a limited extent**	**No**
1.2: Is the theory of change perspective explicitly integrated into programme and project M&E plans and processes?			✔	
a. Is the theory of change clearly articulated in the programme design documents or will evaluators need to unpack it from the programme or project documentation?				✔
b. Does the monitoring system include some form of risk assessment in terms of the changes to the project's underlying preconditions or assumptions?			✔	
c. Do project or programme evaluations test the validity of these preconditions?				
d. Do programme and project evaluations test the validity of				

the pathway of change – eg. effectiveness and how are outputs converted into outcomes and results?	✔			
e. Do the M&E plans and processes include indicators which can be used to measure outcomes and are appropriate in terms of conformity with SMART criteria?				✔
f. Does the evaluation plan for the programme differenciate between short, medium and long term outcomes and when these results should be evaluated (i e when are they expected to materialise).	✔			

Purpose: To determine whether M&E plans and processes incorporate a theory of change perspective.

Yes: A *Yes* answer needs to clearly explain and provide evidence of the following: SMART indicators to measure outcomes, specification of short, medium and long term outcomes, risk assessment in terms of the validity of the underlying assumptions on which the programme is based, a "testable" theory of change.
No: none of the above are present in the M&E plans
Mostly: most elements of the above are present in the M&E plans.
To a limited extent – some elements of the above are evident in the M&E plans and processes.

Explanation and documents assessed as evidence of this:

 c. Yes – to a limited extent – The theory of change is articulated at the programme level but evaluators will need to unpack it at the geographical component level to map the links between the context, activities and sub-outcomes and then upwards to their contribution to the programme level strategic outcomes. This assessment is based on a review of Part 2 – Operational Components. Sub outcomes were planned to be defined with stakeholders during the 100 day planning period, as well as specification of indicators of progress. Therefore the theory of change is articulated at programme level but less so at project level.

 d. No: The 2009 External Review of LLS does explore the validity of the eight assumptions underlying LLS. Risks are not specified at programme level in Part 1: Strategic Overview, even in the section focused on M&E systems. The Monitoring Protocol does not address risks. At the geographical component level there is no reference to risks in their specification in Part 2 – Operational Components although some of the key issues specified could be regarded as risks. The 2009 External Review highlights that the LLS strategic outcomes and corresponding indicators as stated in the Monitoring Protocol are highly ambitious and questions their achievability in the current funding period. Similarly for the more realistic sub-outcomes, the External Review also argues about their achievability. This indicates there are risks associated with the achievement of the strategic outcomes and sub-outcomes and that risk is not adequately addressed in the monitoring system.

 e. Yes – to a limited extent– An external evaluation of the LLS programme was commissioned in 2009. The evaluation does explore the validity of the 8 underlying assumptions which are linked to the strategic outcomes. However there was limited evidence available at the time of the review as there was not a critical mass of evidence from the project level to indicate whether the assumptions underpinning the programme were valid and the contribution towards the strategic outcomes was modest in most cases at this stage.

 f. Yes – mostly – The 2009 External Review of LLS does illustrate the pathway of change and how outputs are converted into outcomes and the links to the Strategic outcomes of the programme.

 g. No – indicators are not SMART or appropriate. M&E system at programme level is rather general according to the specification in the LLS – Part 1 – Strategic Overview which divides the M&E framework between organisational aspects and strategic outcomes, with both determined by the aggregation of specific outcomes from the interventions. This document indicates that a M&E plan would be developed for LLS within 6 months of the implementation of the strategy and that mid term and final reviews of the implementation of the strategy would

be conducted as well as a 10 year review of all IUCN forest related activities. The Monitoring Protocol does however provide indicators at outcome and output level for the eight Strategic Outcomes – although many are SMART (except for the timebound aspect), some are not specific in their specification.

The 2009 External Review of LLS raises questions on the quality of the monitoring system. On page 17 it questions the achievability of the strategic outcomes and corresponding indicators, as well as the need to measure qualitative change and to reduce the number of quantitative indicators at sub-outcome level. The M&E system was detailed in Guidelines (following a participatory workshop) which focused more on learning rather than accountability. The External Review highlights the difficulty of applying the guidelines in 23 different countries and that there is a need to train landscape managers and implementation partners in the formulation of SMART indicators at the outcome /results level. Page 23 of the review reports ".. designing a functional monitoring and evaluation and learning system remains a challenge".

h. Yes – the evaluations planned do provide different time perspectives on the realisation of impact. The 2009 External Review indicates (page 25) that the "numeric indicators which are an integrated part of the strategic outcomes are highly unrealistic". The Review reported on progress to date with the achievement of results and took a short term perspective. The other evaluations – the 10 year review of IUCN forest related activities (not reviewed as part of this exercise) is intended to take a longer term impact perspective, as well as the end of phase review of the Strategy.

Overall assessment:

Is the theory of change perspective explicitly integrated into programme and project M&E plans and processes? Yes to a limited extent - While the programme documentation does adopt a theory of change perspective, the testability of the theory of change is made difficult in practice by the inadequacies of the monitoring system, the ambitious outcomes and sub-outcomes, and the need to unpack the theory of change at the project level. The evaluation plans proposed in Part A – Strategic Overview appear reasonable. The 2009 External Review was to a certain extent and in general, with the limited evidence available, able to adopt a theory of change perspective to report on initial impacts in terms of contribution towards the achievement of the strategic outcomes. However there appears to be a critical attitude (page 42 of the External Review) with regard to the one way introduction of the theory of change at project level, rather than the logframe approach.

Follow-up at interviews:

Views of local partners on the M&E system in place – whether it is implementable? Are the outcomes over ambitious? Theory of change versus logframe approach – is there a preference on the part of local partners? Views on the specification of indicators and the difficulties they experience in specifying SMART indicators. Was there sufficient support on the specification of indicators at sub-outcome level.

6. **Strengthening the M&E function (Recomm. No 6)**

2.1 Evidence of Strengthening and Improvement of M&E functions and resources	Yes	Mostly	To a limited extent	No
a. Is the M&E plan specified for the programme and project adequate, clearly set out and commensurate with the needs of the programme/donor?				✔
b. Is there evidence of monitoring being conducted for each component of the programme?			✔	
c. Does programme monitoring incorporate the measurement of the project's influence on policy?	✔			
d. Is there any evidence of an improvement or strengthening in the M&E function or resources over				

time eg. improvements in the indicators used, more evaluations commissioned, or others etc.			✔	
e. Is there any evidence that the recommendations of evaluations are taken on board and that the feedback mechanism is working effectively or more effectively?				✔
f. Is there a clear baseline for the project/programme against which results can be measured?.				✔
g. Does the monitoring system report on gender disaggregated data?	✔			
h. Do evaluation reports reflect on the gender dimensions of a project in terms of specific impacts for example?				✔
i. Do monitoring reports make any reference to "member engagement" in programme implementation?				✔
j. Are there any indicators to measure member engagement?				✔

Purpose: To determine whether there is evidence from the project documentation of an improvement in M&E.

Yes: Clear well specified M&E plan and definitive and substantial evidence of improvement in M&E from a review of the monitoring data and evaluation reports for the project.
No: none of the above
Mostly: M&E plan exists and significant improvements are evident in M&E systems.
To a limited degree – some improvements in M&E plans and processes are evident although further improvements needed in many areas eg monitoring of gender, member engagement etc.

Explanation and documents assessed as evidence of this:

a. *Is the M&E plan specified for the programme and project adequate, clearly set out and commensurate with the needs of the programme/donor?* No - The 2009 External Review of LLS points to the inadequacies of the monitoring system – over quantification of sub-outcome indicators, over ambitious outcome and sub-outcome indicators, need for training of local partners in the specification of SMART indicators and that designing a function M&E system continues to pose a challenge to the programme. The LLS Monitoring Protocol was not seen as an appropriate tool as it included the reporting of outputs which the Review proposes should be skipped to focus on outcomes and results. Moreover new indicators needed to be defined directly linked to the LLS interventions, as well as being SMART in specification. Page 16 of the External Review of LLS (2009) points to the need for the M&E system to be more participatory with LLS staff in several countries reporting that they did not feel sufficiently associated in the design of the system although the M&E design documents were circulated and there was a global meeting to discuss it. The LLS Monitoring Protocol was designed to meet the M&E requirements of the donor DGIS.

b. *Is there evidence of monitoring being conducted for each component of the programme?* Yes – to a limited extent. The Monitoring protocol is structured according to the eight Strategic Outcomes of the programme with associated outcome and output indicators specified. The 2009 External Review highlights that few of the monitoring plans at project level (page 26) work in practice and satisfy the requirements of the Protocol. There are also deficiencies in the quality of the indicators at project level in terms of conformity with SMART criteria and there are gaps as a result in the omission of qualitiative measures of impact.

c. *Does programme monitoring incorporate the measurement of the project's influence on policy?* Yes – The Monitoring Protocol defines outcome and output indicators for Strategic Outcome Number 8 which is the policy focused outcome of the programme, also outcome indicators for SO3 and SO6 include policy influence measures.

d. *Is there any evidence of an improvement or strengthening in the M&E function or resources over time eg. improvements in the indicators used, more evaluations commissioned, or others etc.* <u>Yes – to a limited extent</u> The LLS Annual Report for 2008 reported on the redesign of the indicators to measure outcomes (page 1 – Introduction) in order to make the indicators more focused on stakeholders priorities and needs and more locally appropriate. The Annual Report explicitly indicates that this redesign was based on the need to apply the Theory of Change Model and implement the recommendations of the IUCN External Review. Moreover the M&E function was strengthened by bringing on board an M&E officer in late 2007. Moreover an M&E protocol was delivered in 2008 (we did not review this document) . The 2008 Annual Report noted that there were variations in the capacity of stakeholders in relation to M&E, more resources for training on M&E in the field were required and that the Theory of Change & M&E questions were useful tools in the consideration of expected changes from interventions. However the 2009 External Review highlights a number of deficiencies in the monitoring system in place and makes a number of recommendations focused on the monitoring system. There was no evidence available to test whether these recommendations had been applied in practice to improving the M&E function.

e. *Is there any evidence that the recommendations of evaluations are taken on board and that the feedback mechanism is working effectively or more effectively?* No evidence that the recommendations from the 2009 Review have been taken on board. The 2009 External Review points out that the "learning between WANI and LLS should be more actively pursued" (page 17).

f. *Is there a clear baseline for the project/programme against which results can be measured?.*

No evidence of a clear baseline across the programme. In particular the 2009 External Review recommends that as soon as possible poverty baselines should be compiled in all LLS landscapes although poverty baseline surveys have been carried out in some sites (for example in Guatemala). The policy baseline is also patchy in terms of coverage in the programming documents.

Plans to develop a baseline were mentioned in the programming documents. Indeed proposed activities within the eleven geographic components (Executive Summary LLS) indicated that some projects would focus on baseline establishment. For example in Brazil activities include the generation of baseline indicators to support decision making on fair and practical ways to curtail illegal logging.

g. *Does the monitoring system report on gender disaggregated data?*
Yes – Some gender related output indicators defined in the Monitoring Protocol (eg number of men and women trained and number of men and women with access to credit etc.) as well as gender related outcome indicators.

h. *Do evaluation reports reflect on the gender dimensions of a project in terms of specific impacts for example?*
No – the 2009 External Review did not report on gender related dimensions of the projects or programme.

i. *Do monitoring reports make any reference to "member engagement" in programme implementation?*
No -Monitoring indicators at output and outcome levels do not report specifically on numbers of members involved although the programming documents do make reference to members' involvement in implementation.

j. *Are there any indicators to measure member engagement*
No -Monitoring indicators at output and outcome levels do not report specifically on numbers of members involved.

<u>Overall assessment:</u>

Yes to a limited extent – there is some evidence of some improvement in M&E systems although further improvements are needed particularly in relation to the monitoring system.

7. **Other Recommendations**

7.1 Enhancing capacities for strategic influencing (Recomm 4) a. Does the regional situation analysis include an assessment of emerging and critical policy developments affecting conservation? b. Does the project documentation provide details on the policy baseline? c. Do the programming documents indicate how the practice – policy influencing loop will work?	Yes	Mostly	To a limited extent	No
a.			✔	
b.	✔			
c.			✔	

Purpose: To determine whether there is evidence from the project documentation that the regional situation analysis now adequately covers policy issues.

Yes: Regional situation analysis adequately covers policy issues and the policy baseline is defined.

No: none of the above.

Mostly: situation analysis is good but not as complete or detailed to warrant a full "yes".

To a limited degree – some evidence of the above albeit limited.

Explanation and documents assessed as evidence of this...

a. Yes to a limited extent – At programme level the deficiencies in current policy making are explained in general and in the geographic components coverage is provided on the key policy issues as well as alignment with national priorities. Policy issues are outlined rather than detailed in either the programme or component level programming docs.

b. Yes - to a limited extent: The policy baseline is described in general terms in the Strategic Overview document. It explains that sustainable forest use and conservation has slipped down the list of global priorities, that the link between forests and poverty reduction need to be more firmly established in policy making and that commitments made under international agreements are not being adhered to. In terms of the geographical components, there is a standard section in the description of each component in Part 2- Operational Components detailing alignment of the project with national priorities and the key issues section provides some although limited coverage of policy issues.

c. Yes - The policy – practice loop is the key issue addressed in the programming documents rather than what is the policy baseline per se. Part A- Strategic Overview does emphasise the importance of making the policy-practice loop more responsive and that there is no single suite of policies and policies and practices need to be adapted to the local contexts. One of the output clusters of LLS focuses on the development of systems to better determine why and how local decision making succeeds or fails and pass on these lessons into national policy making fora as well as activities which address land use issues of direct relevance to policy makers. This document also indicates that sustainability of LLS is dependent on translating pilot field experience into policy practice which is dependent on IUCN and its partners building the capacity of local collaborating institutions. Enhancing capacity for strategic influencing is included in the project activities included in many of the geographic components.

Overall assessment:

Yes there is evidence that the recommendation "Enhancing capacities for strategic influencing" has been implemented although the policy baseline is defined in only general terms in the main programming documents with key policy highlights mentioned in the descriptions of the geographical components. There is an emphasis in the programming documents on the importance of the practice-policy influencing loop and many geographic components include capacity building interventions focused on strategic influencing and policy making.

Follow-up at interviews

What indicators are there at project level to measure the policy influence of LLS activities?

3.2 Strengthen IUCN as a knowledge organisation (Recomm 5)	Yes	Mostly	To a limited extent	No
a. Is there any evidence on how the knowledge developed by a programme or project will be used in the future?			✔	
b. Is there any evidence that the knowledge developed in a programme or project is shared more widely within IUCN or its members.			✔	
c. Do thematic programmes identify clearly key learning questions to focus learning activities?	✔			

Purpose: To determine whether there is evidence from the project documentation of IUCN using the learning and knowledge acquired through projects to enhance its knowledge management functions.

Yes: Learning and knowledge developed in projects is widely shared and used.

No: none of the above

Mostly: To a significant degree.

To a limited extent – some evidence of the above albeit limited.

Explanation and documents assessed as evidence of this:

a. Is there any evidence on how the knowledge developed by a programme or project will be used in the future? Yes – to a limited extent. Part A – Strategic Overview specifies in page 12 the learning framework and its four specific elements (exploring the 8 guiding assumptions, operational learning, policy-practice loop and communications). However the 2009 External Review points to deficiencies in the knowledge management system in terms of it lacking purpose and needing a communications/advocacy strategy for important international events. Also there is a need to ensure that KM also strengthens institutional knowledge in IUCN internally although regional LLS coordinators do strive to promote the latter.
b. .Is there any evidence that the knowledge developed in a programme or project is shared more widely within IUCN or its members. Yes to a limited extent – some evidence from the 2009 External Review of sharing within IUCN although for external knowledge management there is a need for a clear strategy.
c. Do thematic programmes identify clearly key learning questions to focus learning activities? Yes mostly – although the learning questions are not explicit the programme as a whole is designed to promote learning and to test the 8 underlying assumptions.

Overall assessment: Yes – to a limited extent. Learning and knowledge is shared although not as widely as possible and in a structured way. The knowledge management system is not fully designed and lacks purpose and a clear target audience for the different events or publications.The 2009 External Review recommended that a communications strategy be elaborated to address this deficiency. Internally in the IUCN there was some evidence of sharing of lessons learnt and know-how.

3.3 Transforming the Project Portfolio (Recomm 8)	Yes	Mostly	To a limited extent	No
a. Does the project or programme **explicitly** define strategic influencing priorities and activities?	✔			
b. Does the project contain an explicit and convincing policy influencing strategy?	✔			
c. Is there any evidence of the project appraisal system applied – for example in the revision of the project proposal following comments?				✔
d. Does project documentation identify what is the added value of IUCN's involvement in the project?	✔			
e. Is there any evidence of joint planning of global programmes and regional initiatives?	✔			
f. Is there any evidence of joint implementation of global programmes and regional initiatives?	✔			
g. Do Component workplans clearly show how and if possible which members will be involved in the implementation of the programme?				✔

Purpose: To determine whether there is evidence from the project documentation of IUCN being more focused on strategic influencing, learning, innovation and knowledge management functions and has a more coherent project portfolio.

Yes: Evidence of the project portfolio clearly demonstrating the strategic influencing objectives and activities and added value of IUCN's involvement.

_No_: none of the above

Mostly - quite a lot of evidence although not as complete or detailed we needed to warrant a full yes.

To a limited extent – some evidence of the above albeit limited.

Explanation and documents assessed as evidence of this:

a.   Yes – the LLS programme does explicitly define strategic influencing priorities and activities. The strategic outcome number 8 specified in Part A: Strategic Overview indicates that the LLS programme attaches importance to this issue. Similarly at sub-outcome level for the geographic components strategic influencing outcomes are specified and the activities include the involvement of policy makers, community leaders and others in order to influence the policy process.

b.   Yes – policy influence permeates the design of LLS both at programme and at project level. There are explicit outcomes, sub-outcomes and activities focused on ensuring that LLS delivers its overall goal – namely "the effective implementation of policies that leverage real and meaningful change in the lives of the rural poor... " (Executive summary page 3). Indeed Chapter 2 of Part 1 – Strategic Overview indicates that the LLS will limit itself to forest sector policies but will "help catalyse the reform of policies and programmes that shape the use of forests and forest lands, many of which lieoutside the sector" (page 7).

c.   No – no evidence of project appraisal although the planning stage for the projects envisaged a

d. Yes – the project documentation does highlight the added value of IUCN involvement – section 1 of the Strategic Overview and also at project level the added value of IUCN is explained – in many instances it is IUCN's partnerships, networks and existing infrastructure which is the key added value as well as know-how acquired for its past activities.

e. Yes - Evidence of joint planning of regional initiatives is provided in Part 2 – Operational Guidelines in which it indicates that the geographical components will be further elaborated during a participatory process involving local stakeholders.

f. Yes – there is evidence of joint implementation of global programmes and regional initiatives quite often with IUCN members and often in co-operation with local, regional and national organisations.

g. No evidence from the component workplans which were not reviewed although there is a specification of which members will be involved in the geographic component summaries in Part 2 – Operational Components.

Overall assessment:

Yes - There is evidence from the documentation that LLS is focused on policy influencing activities and has a coherent project portfolio, with the added value of IUCN involvement clear. The coherence of the project portfolio is due to links with the programme level outcomes which makes for a coherent set of actions across the 4 thematic areas. The linkages between LLS projects and with other IUCN supported activities in the past/present also ensures coherence with other IUCN funded interventions. However there is room for improvement in terms of strengthening the learning from WANI to LLS and also in enhancing the Knowledge Management system.

Follow-up at interviews
Is there any evidence of global programmes and regional initiatives being better co-ordinated and more coherent?

8. **Other PM&E Issues to be tested? (From Review of IUCN PM&E Docs)**

8.1 **Application of IUCN's Results Based Management Approach**	Yes	Mostly	To a limited extent	No
j. Is there evidence that project evaluations are driven by donor preferences rather than those of IUCN?				✔
k. Is there evidence that project evaluations do not always meet the needs of IUCN in terms of assessing IUCN's influence over policy, behaviour and governance?				✔
l. Are evaluations conducted at regular intervals – for example mid-term and final?	✔			
m. Is the system of project management set out in the project documentation adequate?	✔			
n. Is the monitoring system based on self-reporting?	✔			
o. Does the monitoring system also include verified reporting?				✔
p. Is there a proper classification of activities and results?	✔			
q. Is there evidence that monitoring results feed into learning and adaptive management?			✔	✔

r. Was a management response prepared in response to addressing evaluation report recommendations?				

Purpose: To determine progress in the implementation of IUCN's results based management system (Programme Cycle Management Unit Paper March 2011, "Results Based Management at IUCN: Planning Monitoring and Evaluation").

Yes: Evidence that implementation of IUCN's results based management system is progressing based on improved monitoring systems incorporating more independently verified data, project evaluations are more consistent and can provide evidence to feed into IUCN's results chain and project management standards have improved.

No: none of the above

Mostly – quite a lot of evidence of the above.

To a limited extent: some but limited evidence of the above.

Explanation and documents assessed as evidence of this:

a. No – While there is evidence of donor influence in the design of the Monitoring Protocol, there is no evidence to suggest that the programme evaluation of 2009 is driven by donor needs rather than those of IUCN.

b. No – there is no evidence that the evaluation which was conducted in 2009 does not meet the needs of IUCN.

c. Yes – an interim evaluation was conducted in 2009 and another evaluation is planned at the end of the programme.

d. Yes – The chapter on Coordination and Management in the Part 1 – Strategic Overview provides a clear specification of the management arrangements for the programme and the 2009 External Review comments (page ix Executive Summary) that the "coordination and management structures are well designed and functional".

e. Yes – indicators are defined at local level and the system is self reporting.

f. No evidence available on whether the monitoring system including a data verification dimension.

g. Yes – the Monitoring Protocol distinguishes correctly between activities and outcomes.

h. Yes – to a limited extent. While there is recognised that the M&E system is important for learning, there is no policy on how to systematically organise knowledge management and how M&E, KM and the dissemination of lessons learnt at different levels be carried out (External Review 2009, page 11).

i. No – no evidence was available in relation to the development of a management response to the recommendations of the 2009 External Review of LLS.

Overall assessment:

Yes to a limited extent: There is some evidence that implementation of IUCN's results based management system is progressing based on regular evaluation of the programme and the positive feedback in the 2009 External Review on management and co-ordination structures being well designed and functional (although some areas for improvement such as standardisation in the application of management tools,

improved communication systems etc. also noted). However the monitoring system is rated as needing substantial improvement "Monitoring has become too mechanical and impossible to handle; M&E is too complex since it contains too many indicators" (Executive Summary 2009 External Review, page ix).

Follow-up at interviews
Have the recommendations of the 2009 External Review of LLS been adopted? Was there a management response to these recommendations?

Summary of main findings from Desk Review

Assessment of implementation of recommendations:

Recommendation No 3:
Yes – is recommendation is mostly being implemented. Overall there is sufficient evidence to indicate that this recommendation has been taken on board in the design of LLS and its programming documents at programme level. At geographical component level this level of detail on the theory of change underpinned by a comprehensive situation analysis which shows the link between all three levels - context, the activities and outcomes – is somewhat deficient. While the programme documentation does adopt a theory of change perspective, the testability of the theory of change is made difficult in practice by the inadequacies of the monitoring system, the ambitious outcomes and sub-outcomes, and the need to unpack the theory of change at the project level.

Recommendation No 4: Yes there is evidence that the recommendation "Enhancing capacities for strategic influencing" has been implemented although the policy baseline is defined in only general terms in the main programming documents with key policy highlights mentioned in the descriptions of the geographical components. There is an emphasis in the programming documents on the importance of the practice-policy influencing loop and many geographic components include capacity building interventions focused on strategic influencing and policy making.

Recommendation No 5: Yes – to a limited extent the recommendation concerning the strengthening of IUCN as a knowledge organisation is being implemented. Learning and knowledge is shared although not as widely as possible and in a structured way. The knowledge management system is not fully designed and lacks purpose and a clear target audience for the different events or publications. The 2009 External Review recommended that a communications strategy be elaborated to address this deficiency. Internally in the IUCN there was some evidence of sharing of lessons learnt and know-how.

Recommendation No 6: Yes to a limited extent – there is some evidence to demonstrate some improvement in M&E systems although further improvements are needed. The LLS Annual Report for 2008 reported on the redesign of the indicators to measure outcomes (page 1 – Introduction) in order to make the indicators more focused on stakeholders priorities and needs and more locally appropriate. The Annual Report explicitly indicates that this redesign was based on the need to apply the Theory of Change Model and implement the recommendations of the IUCN External Review. Moreover the M&E function was strengthened by bringing on board an M&E officer in late 2007. Moreover an M&E protocol was delivered in 2008. The 2008 Annual Report noted that there were variations in the capacity of stakeholders in relation to M&E, and more resources for training on M&E in the field were required. However despite these findings the 2009 External Review highlights a number of deficiencies in the monitoring system in place and makes a number of recommendations focused on the monitoring system. There was no evidence available to test whether these recommendations had been applied in practice to improving the M&E function.

Recommendation No 8: Yes - There is evidence from the documentation that LLS is transforming its project portfolio. It is focused on policy influencing activities and has a coherent project portfolio, with the added value of IUCN involvement clear. The coherence of the project portfolio is due to links with the programme level outcomes which makes for a coherent set of actions across the 4 thematic areas. The linkages between LLS projects and with other IUCN supported activities in the past/present also ensures coherence with other IUCN funded interventions. However there is room for improvement in terms of strengthening the learning from WANI to LLS and also in enhancing the Knowledge Management system.

Other PM &E Issues to be Tested: Yes to a limited extent: There is some evidence that implementation

of IUCN's results based management system is progressing based on regular evaluation of the programme and the positive feedback in the 2009 External Review on management and co-ordination structures being well designed and functional (although some areas for improvement such as standardisation in the application of management tools, improved communication systems etc. also noted). However the monitoring system is rated as needing substantial improvement "Monitoring has become too mechanical and impossible to handle; M&E is too complex since it contains too many indicators" (Executive Summary 2009 External Review, page ix).

Overall: The Annual Report for 2008 explicitly indicates that the redesign of the programme was based on the need to apply the Theory of Change Model and implement the recommendations of the IUCN External Review. There is evidence that in the main many of the recommendations are being implemented, although further work is needed in some areas such as the monitoring system before it can be stated that the recommendations of the 2007 External Review which relate to this project have been fully taken on board and implemented from the evidence examined in this desk review.

3 MFF

Name of programme: **Mangroves for the Future: Investing in Coastal Ecosystems**
Documents Reviewed: • 2006 MFF Strategy • 2006 MFF Action Plan • MFF Phase 2 Full Proposal Final • 2009 Revised Visioning Paper • M&E2 MMF MLE Guidelines • M&E LP Monitoring Report Form • Annual Report 2009- MFF
Proforma completed by: Emily Richardson & Valerie McDonnell-Lenoach

Brief Summary of the Programme:
Core /Thematic Area: Ecosystems and Livelihoods **Responsible Officer /Department in IUCN:**
Type of project: Small Medium Large **Budget:** Estimated at start of project: US$ 62 million for years 2007 – 2011 Budget for 2010 – 2013: US$ 14.85 million
Programme Start and End dates: Phase 1: 2007 – 2009 Phase 2: 01/04/2010 – 31/12/2013
Countries involved: Beginning focal countries: India, Indonesia, Maldives, Seychelles, Sri Lanka and Thailand Dialogue countries phase 1: Bangladesh, Kenya, Pakistan, Tanzania and Viet Nam Outreach countries to: Myanmar. Cambodia and Timor-Leste have also expressed interest in receiving assistance from MFF In January 2010, Pakistan and Viet Nam became full member countries of MFF.
Overall Objective: Conservation and restoration of coastal ecosystems as key natural infrastructure which supports human well-being and security.

Overall Result:

Phase 1: The Initiative is founded on a vision for a more healthy, prosperous and secure future for all Indian Ocean coastal communities, where all ecosystems are conserved and managed sustainably.

Phase 2: Healthy coastal ecosystems for a more prosperous and secure future for coastal communities.

Project Purpose with Objectively Verified Indicators (OVIs):

1. To Enhance, share and apply knowledge (revised from 'to build knowledge')
2. To strengthen empowerment
   To enhance governance

Project Results with OVIs:

Expected results of Phase 2:

1. Mangrove ecosystems restored

2. Innovative model for livelihoods through sustainable use of mangrove resources established and implemented

3. Local people and management agencies collaborate in sustainable area management

4. Local, national and international awareness and support for the projects aims

9. Application of Theories of Change to Project Planning and M&E Processes (Recomm No 3)

Application to Project Planning	Yes	Mostly	To a limited extent	No
*1.1: Is a theory of change perspective explicitly integrated into the **situation analysis** of the programme/project's design documentation.*	✔			
*a. Does the situation analysis explain **what** type of change is desired and **why?***		✔		
*b. Does the situation analysis explain what is required to bring about a desired change and the **underlying assumptions**?*	✔			
*c.. Does the situation analysis show the **pathway of change** (from actions to outcomes) in terms of why change is expected to happen in a particular way?*			✔	
d, If the programme / project's design documentation has been updated is there evidence that the theory of change perspective is more explicitly reflected in the newer versions?				

Purpose: To determine whether the rationale for the intervention is sufficiently and clearly justified in the situation analysis for the programme / project.
Yes: A *Yes* answer needs to clearly explain and provide evidence of the following: the underlying assumptions, the reasons why the project will bring about the desired change and the pathway of change.
No: A *No* answer would not provide a clear justification for the intervention based on the situation analysis which would be insufficient to understand why a particular course of action was selected.
Mostly: situation analysis does take the theory of change perspective into account but not in a sufficiently explicit or detailed way to warrant a yes
To a limited extent – some elements of the situation analysis do take the theory of change perspective into account but to a very limited extent.

Explanation and documents assessed as evidence of this:
j.   Yes - MFF is a partnership based regional initiative to promote investment in coastal ecosytems. Phase 1 was implemented between 2007-2009 and Phase 2 between 2010 and 2013. The 2006 MFF Strategy states the desired 'need to conserve coastal ecosystems in order to secure the well-being of generations to come, as well as to meet current needs'. There is detailed discussion on the situation, explaining vulnerability in terms of natural and human causes as well as what is being done to manage the environment - government approaches to coastal management. There is also detailed discussion on the need for an intervention, citing many threats to the ecosystems and shared interests and responsibilities for bringing about change. The vision is 'to reorient the current focus of coastal development and conservation business from disaster response to one which targets long-term trends and threats in

coastal areas'. Phase 2 was designed based on the analysis of Phase 1 of the programme, the mid-term review of MFF which took place in December 2009 and a consultation process with partners. Overall the documentation does explain what type of change is needed and why.

    k. Yes – mostly. What is required is collaboration between the multiple players that are working on coastal conservation and development in Indian Ocean countries, in order to share best practises and lesson learned, network and work together. The 2006 strategy document explains how the novel approach adopted will bring about the desired change – by establishing a regional platform of collaboration. However, the Proposal document for Phase 2 does include a section on assumptions and risks although indicates that there are no killer assumptions that might threaten Phase 2 since obstacles to implementation have been addressed during Phase 1. A number of risks are defined in an annex to the Proposal which are described as having the potential to have a low to medium impact on Phase 2.

    l. Yes. The document: Mangroves for the Future: A Strategy for promoting investment in coastal ecosystem conservation 2007-2012 (which focuses on countries affected by the 2004 Indian Ocean tsunami) clearly maps the situation to the need and then to the response. The pathway of change is clearly demonstrated.

    m. Yes – to a limited extent. There is evidence of an ongoing improvement in the programme documentation and incorporation of the theory of change perspective through for example the integration of the programmes of work for Phase 2 into a full logical framework.

<u>Overall assessment:</u> *Is a theory of change perspective explicitly integrated into the **situation analysis** of the programme/project's design documentation.*

Overall, yes, the theory of change perspective is reflected in the programme documentation. The Strategy for the second phase is a well prepared document which clearly shows the pathway of change. Assumptions underlying the interventions should be more clearly stated in programme documentation. There is evidence of an improvement in the documentation in the second phase to more explicitly integrate the theory of change perspective into the design.

Follow-up at interviews:

Application to M&E Plans and Processes	Yes	Mostly	To a limited extent	No
1.2: Is the theory of change perspective explicitly integrated into programme and project M&E plans and processes?				
a. Is the theory of change clearly articulated in the programme design documents or will evaluators need to unpack it from the programme or project documentation?		✔		
b. Does the monitoring system include some form of risk assessment in terms of the changes to the project's underlying preconditions or assumptions?			✔	
c. Do project or programme evaluations test the validity of these preconditions?	**Cannot evidence this**			
d. Do programme and project evaluations test the validity of the pathway of change – eg. effectiveness and how are			✔	

outputs converted into outcomes and results? *e. Do the M&E plans and processes include indicators which can be used to measure outcomes and are appropriate in terms of conformity with SMART criteria?* *f. Does the evaluation plan for the programme differenciate between short, medium and long term outcomes and when these results should be evaluated (i e when are they expected to materialise).*			✔	✔

Purpose: To determine whether M&E plans and processes incorporate a theory of change perspective.

Yes: A *Yes* answer needs to clearly explain and provide evidence of the following: SMART indicators to measure outcomes, specification of short, medium and long term outcomes, risk assessment in terms of the validity of the underlying assumptions on which the programme is based, a "testable" theory of change.

No: none of the above are present in the M&E plans

Mostly: most elements of the above are present in the M&E plans.

To a limited extent – some elements of the above are evident in the M&E plans and processes.

Explanation and documents assessed as evidence of this:

   i. Yes mostly– the theory of change is incorporated into the strategy document for Phase 2 explicitly for the programme level. A mid-term evaluation of Phase 1 was prepared in December 2009 and it reported that the programme had only recently started full scale implementation and that there was limited information on outcomes resulting from the programme. It was noted in the proposal for Phase 2 that there was an intention to scale up Monitoring, Learning and Evaluation (MLE) activities which were piloted under Phase 1, so that during Phase 2 the results and outcomes from Phase 2 could be deciphered, as well as the outcomes from Phase 1 projects.

   j. Yes – to a limited extent. The M&E Guidelines recommend conducting a SWOT analysis of the team and its capacities during the planning phase. However, there is no SWOT or other risk mitigation template found within the Monitoring Report Form or other forms.

   k. No response - A mid-term review of Phase 1 was conducted in 2009 although only a summary of this review included in the Proposal for Phase2 was reviewed. Therefore we cannot evidence whether the testing of assumptions was conducted as part of evaluation activities.

   l. Yes – to a limited extent. The 2009 Mid-term review of MFF suffered due to the fact that the programme had only recently proceeded to full scale implementation and therefore there was limited evidence on results and outcomes. MLE activities planned for Phase 2 include "monitor, evaluate and draw lessons from the large volume of project results and experiences generated by more than 80 small grant

facility projects and nine large projects implemented during Phase 1. No project level evaluations were assessed as part of this review.

m. Yes – to a limited. While results are defined in the Strategy document for 2007-2012, the logical framework matrix appended to the Proposal for Phase 2 provides results indicators according to the different programmes of work. Most indicators do not fully conform to SMART criteria in terms of being time limited and specific in nature although are measurable in the main.

At project level, the monitoring report form scores the achievements of results through assessing the achievement of the verifiable indicators, the quality of results, implementation of recommendations etc. No indicators are actually listed as the form reviewed is only a template. The specification of Phase 1 large projects included in the proposal for Phase 2 document provides details on project results and associated output indicators. The latter are not conforming in the main with SMART criteria (in terms of specificity, measurability and timebound aspects) and in some cases there is some confusion between outputs and outcomes. The logical framework matrix also appended to the Proposal document for Phase 2 provides results and indicators for Phase 2 projects. The indicators are more appropriately defined in this case although are not adhering to the timebound criterion also in terms of the SMART criteria.

n. No - there is no mention of a differentiation between short, medium and long term outcomes and when these results should be evaluated in the section on MLE in the Proposal document.

Overall assessment:

The Theory of Change is clearly articulated in the MFF Strategy and evaluators will be able to refer to this in order to assess whether or not the desired change has occurred. There was limited evidence on the application of the theory of change perspective to the evaluation of Phase 1 since the programme had only recently started full implementation. The monitoring visits and reporting templates for these visits do indicate that a theory of change perspective is used.

Follow-up at interviews:

- Is there any document that explains what results should be evaluated when, thus differentiating between short, medium and long term outcomes?

10. **Strengthening the M&E function (Recomm. No 6)**

2.1 Evidence of Strengthening and Improvement of M&E functions and resources	Yes	Mostly	To a limited extent	No
a. Is the M&E plan specified for the programme and project adequate, clearly set out and commensurate			✔	

with the needs of the programme/donor?				
b. Is there evidence of monitoring being conducted for each component of the programme?	✔			
c. Does programme monitoring incorporate the measurement of the project's influence on policy?	✔			
d. Is there any evidence of an improvement or strengthening in the M&E function or resources over time eg. improvements in the indicators used, more evaluations commissioned, or others etc.			✔	
e. Is there any evidence that the recommendations of evaluations are taken on board and that the feedback mechanism is working effectively or more effectively?	✔			
f. Is there a clear baseline for the project/programme against which results can be measured?.	✔			
g. Does the monitoring system report on gender disaggregated data?	**Unable to comment**			
h. Do evaluation reports reflect on the gender dimensions of a project in terms of specific impacts for example?		✔		
i. Do monitoring reports make any reference to "member engagement" in programme implementation?		✔		
j. Are there any indicators to measure member engagement?				

Purpose: To determine whether there is evidence from the project documentation of an improvement in M&E.

 Yes: Clear well specified M&E plan and definitive and substantial evidence of improvement in M&E from a review of the monitoring data and evaluation reports for the project.

No: none of the above

Mostly: M&E plan exists and significant improvements are evident in M&E systems.

To a limited degree – some improvements in M&E plans and processes are evident although further improvements needed in many areas eg monitoring of gender, member engagement etc.

Explanation and documents assessed as evidence of this:

   k. *Is the M&E plan specified for the programme and project adequate, clearly set out and commensurate with the needs of the programme/donor?* Yes – to a limited extent. The Monitoring, Learning and Evaluation plan as set out in the MFF Phase 2 Proposal is rather general and the guidelines for MLE focus mainly on MLE visits which are focused on providing a learning opportunity for NCB members and project managers

with the aim of helping them become more adaptive to the dynamic and changing context of their work. There is insufficient detail in the documentation reviewed on planned evaluation activities although the Proposal document in section 4.8 on MLE does indicate a scaling up of MLE during Phase 2 and that large projects would be visited twice during implementation, with small project visits taking place at least once. The template for the reports from MLE visits indicate that these visits constitute mini-evaluations of the interventions. Moreover there is an indication that during Phase 2 RSC/NCB members and national secretariat staff are expected to take more ownership and responsibility for MLE activities in their own country. There is no indication in the reviewed documentation of how the MLE activities meet the reporting needs of the donors. The MLE system sits above the normal project monitoring system which is built into the design of each MFF project.

l. *Is there evidence of monitoring being conducted for each component of the programme?* Yes – there is evidence that MLE visits are conducted for both large and small projects.

m. *Does programme monitoring incorporate the measurement of the project's influence on policy?* Yes - The Monitoring Report Form for MLE visits includes a section on the interaction between project and policy level, with clear questions on the topic.

n. *Is there any evidence of an improvement or strengthening in the M&E function or resources over time eg. improvements in the indicators used, more evaluations commissioned, or others etc.* Yes – to a limited extent. The Coordination, Monitoring and Learning section of the 2006 MFF Action Plan is very brief and details only a small secretariat that is intended to coordinate M&E along with many other functions such as technical and budget support. In comparison, the MFF Phase 2 Proposal sets out an M&E framework and in general describes how this M&E framework will be used. There has been an external Mid Term Review of the programme and annual reports have been produced each year. There was also a commitment in the proposal document for Phase 2 that "one of the main focuses in Phase 2 will be to monitor, evaluate and draw lessons learned.." which will involve looking at results from Phase 1 projects as well as Phase 2 activities.

o. *Is there any evidence that the recommendations of evaluations are taken on board and that the feedback mechanism is working effectively or more effectively?* Yes - The MFF Phase 2 Proposal takes on board the two main recommendations of the Mid Term Review, which were: (a) To consolidate the achievements to date (b) To take a cautious approach to expansion, by allowing one or two new countries to become full member countries. Therefore, in 2010 the programme accepted two new countries as members – Pakistan and Viet Nam. Moreoover the Large Project Monitoring Template for visits asks whether the recommendations from previous monitoring visits used to improve the achievement and quality of the results.

p. *Is there a clear baseline for the project/programme against which results can be measured?.Yes -* One of the initial actions as stated in the 2006 MFF Action Plan is to conduct a needs assessment to identify existing socio-economic and ecological baselines.

q. *Does the monitoring system report on gender disaggregated data?* Yes - there is a section in the M&E Monitoring form for Visits that assesses how well the project

considers gender equality. However, rather than being mainstreamed into the other indicators and disaggregated by males and females, there are separate questions concerning gender on the form.

r. *Do evaluation reports reflect on the gender dimensions of a project in terms of specific impacts for example?* Not able to comment since the Mid-Term Evaluation of MFF was not reviewed except a summary of the report which does indicate that SGF projects are empowering community and women's groups. There is however a section in the M&E Monitoring form for Visits that assesses how well the project considers gender equality. However, rather than being mainstreamed into the other indicators and disaggregated by males and females, there are separate questions concerning gender on the form.

Moreover the guidelines concerning cross cutting themes such as gender were improved, an MFF Gender Framework was formulated during 2009 and there is also work underway to address gender issues in the design of MFF projects as well as at an institutional level (Annual Report 2009, page 4). Section 4.10 of the Proposal for Phase 2 focuses on gender considerations and indicates that the MFF Gender Strategy ensures that gender is a specific focus in some programmes of work (POW), and a cross cutting theme across all POWs.

s. *Do monitoring reports make any reference to "member engagement" in programme implementation?* Yes – Mostly. The monitoring template for large projects for visits reports on partner contribution and involvement in project implementation, as well as communications between the NCB, Steering Committee and partners well as on partner events.

t. *Are there any indicators to measure member engagement?* Yes – Mostly. The monitoring template for large projects for visits includes indicators related to partner contribution and involvement in project implementation, as well as communications between the NCB, Steering Committee and partners well as on partner events.

Overall assessment: Overall there is evidence to indicate that recommendation number 6 is being implemented and there is evidence to support an improvement in the M&E system. There is a need to better articulate the evaluation plans for the programme in the programme documentation and to work with the partners to ensure that project level M&E works in practice (especially since the country teams are expected to take more responsibility for this activity during Phase 2) and that there is sharing of lessons and findings from the project visits across the programme and more widely.

Follow-up at interviews

- Is a global approach to M&E applied or is it specific to the requirements of each donor?
- Value of the MLE visits in practice – is this learning disseminated more widely and how?
- Are the requisite MLE visits (twice in the life of large projects, once in the case of small projects) taking place?
- Is the monitoring data available at project level of good and sufficient quality to complete the template for the MLE visits?
- Do project partners feel there has been an improvement in the MLE system during Phase 2 and that local teams are taking more ownership of the process in country?
- Are projects implementing a system of monitoring and evaluation in practice?

11. Other Recommendations

3.1 Enhancing capacities for strategic influencing (Recomm 4) a. Does the regional situation analysis include an assessment of emerging and critical policy developments affecting conservation? b. Does the project documentation provide details on the policy baseline? c. Do the programming documents indicate how the practice-policy influencing loop will work?	Yes	Mostly	To a limited extent	No
a.		✔		
		✔		
b.			✔	

Purpose: To determine whether there is evidence from the project documentation that the regional situation analysis now adequately covers policy issues.

Yes: Regional situation analysis adequately covers policy issues and the policy baseline is defined.

No: none of the above.

Mostly: situation analysis is good but not as complete or detailed to warrant a full "yes".

To a limited degree – some evidence of the above albeit limited.

Explanation and documents assessed as evidence of this...

a. Does the regional situation analysis include an assessment of emerging and critical policy developments affecting conservation? Yes mostly- the 2007-2012 Strategy document details the national policy framework for integrated coastal management in each of the beneficiary countries supported by Phase 2.

> *b. Does the project documentation provide details on the policy baseline?* Yes – the 2007-2012 details the state of play in relation to integrated coastal management policy and planning in each of the beneficiary countries. However the Revised MFF Visioning Paper commented "it is important that the MFF programme should not only focus on current challenges, but also recognize new and emerging issues in integrated coastal area management". The policy baseline in each of the beneficiary countries is detailed in the Strategy document 2007-2012.
> *c.* Do programming documents indicate how the practice-policy influencing loop will work in practice? Yes – to a limited degree.

Overall assessment:
Yes mostly – this recommendation is being implemented with the evidence from the documentation showing that strategic influencing is reflected in the documentation and strategy

for the project and is also measured as part of the monitoring process.

Follow-up at interviews

How flexible is the programme in terms of its ability to adapt and take new emerging policy issues on board?

3.2 Strengthen IUCN as a knowledge organisation (Recomm 5) *a. Is there any evidence on how the knowledge developed by a programme or project will be used in the future?* *b. Is there any evidence that the knowledge developed in a programme or project is shared more widely within IUCN or its members.* *c. Do thematic programmes identify clearly key learning questions to focus learning activities?*	Yes ✔ ✔ No evidence	Mostly	To a limited extent	No

Purpose: To determine whether there is evidence from the project documentation of IUCN using the learning and knowledge acquired through projects to enhance its knowledge management functions.

Yes: Learning and knowledge developed in projects is widely shared and used.

No: none of the above

Mostly: To a significant degree.

To a limited extent – some evidence of the above albeit limited.

Explanation and documents assessed as evidence of this:

   a. *Is there any evidence on how the knowledge developed by a programme or project will be used in the future?*

   Yes - Knowledge management and communication are seen as central to MFF objectives and therefore the revised visioning paper suggested that as such there should be a specific budget for these activities. There is a clear indication in the Proposal for Phase 2 that information exchange, communications and knowledge management will be strengthened with initiatives such as the creation of a Knowledge Platform and that a knowledge management strategy linked to MLE frameworks would be developed. The Monitoring Template for Large Project Visits includes an assessment of the extent to which the project was building and mainstreaming experience from lessons learnt.

b. Is there any evidence that the knowledge developed in a programme or project is shared more widely within IUCN or its members? Yes – Phase 2 Proposal indicates that MFF will develop an outreach strategy for Phase 2 to provide information and advice to new countries/regions interested in MFF as well as information on the lessons learnt from MFF. Knowledge products, web activity as well as participation in events all promote the sharing of MFF knowledge and lessons learnt.

c. Do thematic programmes identify clearly key learning questions to focus learning activities? No evidence to demonstrate this was reviewed by the evaluation team.

Overall assessment:

Yes – mostly. There is growing evidence in Phase 2 that the learning and knowledge developed in projects is widely shared and used. It is clear that knowledge management and sharing is a key element of the work envisaged under Phase 2 of the programme.

Follow-up at interviews

3.3 Transforming the Project Portfolio (Recomm 8)	Yes	Mostly	To a limited extent	No
	✔			
a. Does the project or programme **explicitly** define strategic influencing priorities and activities?	No evidence			
b. Does the project contain an explicit and convincing policy influencing strategy?			✔	
c. Is there any evidence of the project appraisal system applied – for example in the revision of the project proposal following comments?	✔			✔
d. Does project documentation identify what is the added value of IUCN's involvement in the project?	✔			
e. Is there any evidence of joint planning of global programmes and regional initiatives?	No evidence			
f. Is there any evidence of joint implementation of global programmes and regional initiatives?				
g. Do Component workplans clearly show how and if possible which members will be involved in the implementation of the programme?				
Purpose: To determine whether there is evidence from the project documentation of IUCN being more focused on strategic influencing, learning, innovation and knowledge management functions and has a more coherent project portfolio.				

Yes: Evidence of the project portfolio clearly demonstrating the strategic influencing objectives and activities and added value of IUCN's involvement.

No: none of the above

Mostly - quite a lot of evidence although not as complete or detailed we needed to warrant a full yes.

To a limited extent – some evidence of the above albeit limited.

Explanation and documents assessed as evidence of this:

*a. Does the project or programme **explicitly** define strategic influencing priorities and activities?*Yes – Phase 2 has three objectives including the goal to enhance coastal governance at all levels.

*b. Does the project contain an explicit and convincing policy influencing strategy?*No evidence review although the assessment of the interaction between the project and policy is conducted as part of the monitoring visits to projects.

c. Is there any evidence of the project appraisal system applied – for example in the revision of the project proposal following comments? Yes to a limited extent - there is evidence that an extensive consultation process was followed for the development of Phase 2 proposal. There was no evidence available at the project level to indicate the application of project appraisal systems.

d. Does project documentation identify what is the added value of IUCN's involvement in the project? No the programme documentation (Proposal for Phase 2 and the Strategy for 2007-2012) do not adequately identify the added value of IUCN involvement in the project.

e. Is there any evidence of joint planning of global programmes and regional initiatives? Yes there is evidence of joint planning and consultation with partners in the definition of the second Phase of the programme.

f. Is there any evidence of joint implementation of global programmes and regional initiatives? Yes there is evidence of joint implementation with IUCN working in partnership with a range of partners to deliver the POW.

> *g. Do Component workplans clearly show how and if possible which members will be involved in the implementation of the programme?* No component workplans reviewed.

Overall assessment:
Yes – to a limited extent there is evidence of the project portfolio clearly demonstrating the strategic influencing objectives and activities, there is joint planning and implementation of activities although the added value of IUCN's involvement is not made clear.
Follow-up at interviews
Is there any evidence of global programmes and regional initiatives being better co-ordinated and more coherent?

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12. Other PM&E Issues to be tested? (From Review of IUCN PM&E Docs)

12.1 Application of IUCN's Results Based Management Approach	**Yes**	**Mostly**	**To a limited extent**	**No**

s. Is there evidence that project evaluations are driven by donor preferences rather than those of IUCN?				✔
				✔
t. Is there evidence that project evaluations do not always meet the needs of IUCN in terms of assessing IUCN's influence over policy, behaviour and governance?			✔	
u. Are evaluations conducted at regular intervals – for example mid-term and final?	✔			
v. Is the system of project management set out in the project documentation adequate?		✔		
w. Is the monitoring system based on self-reporting?	✔			
		✔		
x. Does the monitoring system also include verified reporting?			✔	
y. Is there a proper classification of activities and results?			✔	
z. Is there evidence that monitoring results feed into learning and adaptive management?				
aa. Was a management response prepared in response to addressing evaluation report recommendations?				

Purpose: To determine progress in the implementation of IUCN's results based management system (Programme Cycle Management Unit Paper March 2011, "Results Based Management at IUCN: Planning Monitoring and Evaluation").

Yes: Evidence that implementation of IUCN's results based management system is progressing based on improved monitoring systems incorporating more independently verified data, project evaluations are more consistent and can provide evidence to feed into IUCN's results chain and project management standards have improved.

No: none of the above

Mostly – quite a lot of evidence of the above.

To a limited extent: some but limited evidence of the above.

Explanation and documents assessed as evidence of this:

j. Is there evidence that project evaluations are driven by donor preferences rather than those of IUCN? No such evidence was found during this desk review.

k. *Is there evidence that project evaluations do not always meet the needs of IUCN in terms of assessing IUCN's influence over policy, behaviour and governance?* No such evidence exists – the Mid Term review of Phase 1 was very useful in the design of Phase 2 of the programme although there was limited evidence on the achievements of Phase 1 since the programme had only recently started full implementation.

l. *Are evaluations conducted at regular intervals – for example mid-term and final?* Yes to a limited extent – there is evidence that mid term evaluations are conducted (eg in the case of phase1) although there is evidence of final evaluations and no detail in the MLE section in the proposal for Phase 2 of the planned commissioning of evaluations.

m. *Is the system of project management set out in the project documentation adequate?* Yes – the management arrangements for the programme are set out clearly in the Proposal for Phase 2.

n. *Is the monitoring system based on self-reporting?* Yes mostly – although there are visits to the projects which include an external M&E specialist.

o. *Does the monitoring system also include verified reporting?* Yes – there are MLE visits to large and small projects which do involve an external M7E specialist so the results can to an extent be independently verified.

p. *Is there a proper classification of activities and results?* Yes – mostly in the case of the Phase 2 programme level (per logframe attached to Proposal for Phase 2). The classification of activities, outputs and results in the project summaries of Phase 1 is not always correctly done although there was an improvement in relation to classification of activities and results in relation to Phase 2's Programmes of Work.

q. *Is there evidence that monitoring results feed into learning and adaptive management?*Yes to a limited degree – the assessment of the implementation of recommendations from the monitoring process is record in the report of visits to large projects.

r. *Was a management response prepared in response to addressing evaluation report recommendations?* Yes – to a limited extent. No evidence as such of a management response although the recommendations from the mid-term review of phase 1 were taken into the design of phase 2.

Overall assessment:
Yes mostly - there is evidence concerning the implementation of IUCN's results based management system is progressing based on a better classification of activities and results in Phase 2, improved monitoring systems incorporating more independently verified data and adequate project management systems and standards.
Follow-up at interviews

Summary of main findings from Desk Review

Assessment of implementation of recommendations:

Recommendation No 3 – Yes mostly there was evidence that this recommendation that the theory of change is being applied to programme planning and M&E processes is being implemented. There is evidence that the theory of change is more explicitly integrated into programme design. The Strategy for

the second phase is a well prepared document which clearly shows the pathway of change. The evidence is less definitive in relation to the application of the theory of change to monitoring and evaluation activities. While the template for project visits in the framework of Phase 2 does adopt a theory of change perspective through reporting on outputs and impacts, there was limited evidence concerning evaluation activities as the mid-term review of Phase1 could only provide limited feedback as the programme had only recently started full scale implementation.

Recommendation No 4: Yes mostly – this recommendation is being implemented with the evidence from the documentation showing that strategic influencing is reflected in the documentation and strategy for the programme and is also measured as part of the monitoring process.

Recommendation No 5: Yes – mostly. There is growing evidence in Phase 2 that the learning and knowledge developed in projects is widely shared and used. It is clear that knowledge management and sharing is a key element of the work envisaged under Phase 2 of the programme and this area was strengthened in the design of Phase 2.

Recommendation No 6 – Yes **-** Overall there is evidence to indicate that recommendation number 6 is being implemented and there is evidence to support an improvement in the M&E system. There is a need to better articulate the evaluation plans for the programme in the programme documentation and to work with the partners to ensure that project level M&E works and that there is sharing of lessons and findings from the project visits across the programme and more widely.

Recommendation No 8: Yes – to a limited extent this recommendation concerning transforming the project portfolio is being implemented. There is evidence of the project portfolio clearly demonstrating the strategic influencing objectives and activities, there is joint planning and implementation of activities although the added value of IUCN's involvement is not made clear.

Other PM &E Issues to be Tested: Yes mostly - there is evidence concerning the implementation of IUCN's results based management system is progressing based on a better classification of activities and results in Phase 2, improved monitoring systems incorporating more independently verified data and adequate project management systems and standards.

Overall: The evidence suggests that the recommendations from the 2007 External Review have mostly been taken on board in relation to the Mangroves for the Future programme documentation. The programme documentation has improved, monitoring systems and templates are based on the theory of change perspective although the evidence concerning evaluation of the programme was limited, both in terms of number and type of evaluations as well as the extent to which the past evaluations (eg 2009 review of Phase 1) could apply the theory of change perspective given the volume and quality of monitoring data.

4   PRCM

Name of programme / project: Programme Régional de Conservation de la Zone Cotiêre et Marine (PRCM) – Regional Conservation Programme for the Coastal and Marine Area of West Africa

Documents Reviewed:

- Programme Régional de Conservation de la Zone Cotiêre et Marine en Afrique de l'Ouest, Programme 2008-2011, PCRM Phase 2

- Baastel (2011) *Evaluation Mi-parcours du Programme Régional de Conservation Marine et Côtière en Afrique de l'Ouest –PRCM,* Rapport Final, Le Groupe-conseil baastel, 11 Mars 2011

- Communication et plaidoyer PRCM phase II

- Two projects assessed as part of the review:

  o Promoting economic, social and environmentally responsible oil and gas development in West Africa

  o Integrated Coastal Area and Marine Diversity Management Project Phase 2 – Gambia

Proforma completed by: Daisy Macdonald

Brief Summary of the Programme:

Core /Thematic Area: Marine Conservation Areas, Fisheries Management, Support for Integrated Management

Responsible Officer /Department in IUCN: Global Marine and Polar Programme

Type of project: Small Medium Large

Budget: Phase 2 - €26,920,000

Programme Start and End dates: Phase 1[6] – 2004–2007, Phase 2[7] - 2008-2011

Countries involved: Mauritanie, Sénégal, Cap Vert, Gambie, Guinée-Bissau, Guinée, Sierra Leone.

Overall Objective: To promote integrated and coherent methods and management for sustainable and equitable development of the marine and coastal areas of the West Africa. This is to be done through creation of, and support for regional networks and protected areas, building a shared vision and alignment with national policies (using a coalition of 4 INGOs and some 50 partner groups).

Overall Result: Phase 2 components:

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[6] Phase 1 – Developing partnerships, management mechanisms and mobilising actors

[7] Phase 2 – Support for implementation of more specific actions to improve conservation and integrated ecosystem management

A) Marine and Coastal Conservation (includes, consolidation of the regional network of Protected Marine Areas put in place during Phase 1)

B) Fisheries Management

C) Support for Integrated Management

Phase 2 - Strategic Programme goals:

1. Capacity building for programme actors (e.g. managers, fishermen etc) to strengthen individual and collective capacities of local and national organisations to allow them to fully accomplish their mission.

2. The development of scientific research activities and acquisition of local and traditional knowledge in order that conservation management measures are based on sound scientific and detailed knowledge.

3. The promotion of environmental education and awareness-raising to allow all actors, especially youth, to gain an understanding of coastal zone functions and the opportunities for sustainable development.

4. Support the implementation of participatory governance of resources and areas, including stakeholder consultation at different levels, in order to promote ownership of solutions and limit the risks of conflict.

5. Utilise advocacy, through a process of constructive collaboration, to influence sub-regional policies and encourage decision making to produce the desired changes.

Project Purpose with Objectively Verified Indicators (OVIs): (Phase 2 Impact Indicators)

1. Number of documents and reforms aimed at clarifying the scope of competencies of the institutions drafted with the assistance of PRCM actors

2. Number of people trained (i) for users, (ii) for actors of public administration, (iii) for National or local NGOs

3. % of funds managed by local actors

4. Number of new policies favorable to management of resources and the conservation of species and critical habitats

A) Marine and Coastal Conservation

1. The creation of 5 new Protected Marine Areas (PMAs) will complete the RAMPAO and enhance its representativeness

2. At least 10% of the RAMPAO area consists of non-exploited wilderness zones

3. Conservation conditions of at least 10 species or emblematic species groups have improved by the end of 2011, notably through the adoption and implementation of regional action plans.

4. Mechanisms for evaluating the effectiveness of management, and guiding the review of management plans are in place for 50% of PMAs members of RAMPAO.

5. 50% of PMA network has systems of governance institutionalizing user participation.

B) Fisheries Management

1. The principles of an ecosystem approach to fisheries management are included in the revised version of the Convention on Minimum Conditions of Access.

2. The fishing agreements between States of the CSRP are developed on a scientific basis and / or on the basis of management plans.

3. Technical measures allow improved selectivity and reduction of impacts of three fisheries which are damaging the marine environment (coastal shrimp, small pelagics, shellfish, etc.).

4. The demonstrative value of participatory management of at least two coastal fisheries influences fishery policies of State members of the CSRP.

5. The management plans of three fisheries are developed in a participatory manner at the national and transnational level in three countries.

C) Support for Integrated Management

1. Evolution of national regulations to approaches for Integrated Coastal Zone Management

2. At least 3 new PRCM countries update their laws and regulations (on coastal development and environmental codes) taking into account international environmental agendas

3. Guides for thematic review of prospective assessments of the coastal and West African marine environment are disseminated

4. The risks and environmental issues are taken into account in national policies on coastal zone management

5. At least 2 new national planning processes are begun in the coastal zone countries before PRCM 2011

6. Influence of parliamentary assemblies on national legislation for coastal and marine management

Project Results with OVIs: - Phase 2

A) Marine and Coastal Conservation (a selection of indicators only)

1. The conservation status of shared resources is maintained or improved

2. A database on the target species is available by the end 2009

3. The action plan for the Biomarine network is put in place

4. Interagency consultation frameworks for creation and management of the PMAs are operational in at least 5 countries

5. 50% of the PMA network have systems of governance institutionalizing user participation

6. At least 2 plans for cross-frontier conservation management are put in place

7. Local development initiatives enhancing biodiversity are supported in at least 50% of PMAs

8. A harmonized tool for monitoring the effectiveness of management is established

9. At least 50% of users utilise alternative techniques and exploit resources in a sustainable way

D) Fisheries Management (a selection of indicators only)

1. Conditions favouring an ecosystem approach to fisheries, including small-scale fisheries and coastal zones, are integrated into improved version of the Convention on Conditions Minimum Access

7. Number of fishing agreements between States of the CSRP developed on a scientific basis and / or on the basis of management plans.

2. Number of local systems of participatory management operational and legitimized by States

3. Number of established protocols between SCS administration and users implemented

4. Number of measures and techniques adopted for management of fisheries that are harmful to the marine environment (coastal shrimp, small pelagics, coastal pelagics, shellfish, etc.).

5. Number of Partnership Fishing Agreements evaluated or assessed

6. Number of strategic studies consistent with national sectoral policies

7. A regional surveillance system on the positioning of major actors in the fisheries sector

E) Support for Integrated Management (a selection of indicators only)

1. The value of ecosystem services and their contribution to development are evaluated for at least 7 sites

2. Number of published scientific papers and research reports produced and disseminated

3. Number of initiatives for collecting local knowledge and descriptions of the traditional practices of resource management

4. At least 15 students or researchers in the subregion benefit from support to attend high-level training (Master, PhD ...) on topics related to the conservation and integrated management of coastal West Africa

5. Number of collaborations between institutions research, universities and other actors

6. Number of infrastructure projects or activities with potential impact on ZCOM for which an EIA has been actually conducted and presented in open court

7. Strategic environmental assessments and taxes are initiated in at least 2 countries

8. X observatories working in an integrated and producing information needed to GIZCoM

9. At least 5 tools for monitoring and decision support are developed and implemented (observatories, databases, hydrodynamic models...) with support from PRCM

13. Application of Theories of Change to Project Planning and M&E Processes (Recomm No 3)

Application to Project Planning	Yes	Mostly	To a limited extent	No
1.1: Is a theory of change perspective explicitly integrated into the **situation analysis** of the programme/project's design documentation.	✓			
a. Does the situation analysis explain **what** type of change is desired and **why?**		✓		
b. Does the situation analysis explain what is required to bring about a desired change and the **underlying assumptions**?				
c.. Does the situation analysis show the **pathway of change** (from actions to outcomes) in terms of why change is expected to happen in a particular way?	✓ **No evidence**			
d, If the programme / project's design documentation has been updated is there evidence that the theory of change perspective is more explicitly reflected in the newer versions?				

Purpose: To determine whether the rationale for the intervention is sufficiently and clearly justified in the situation analysis for the programme / project.

Yes: A *Yes* answer needs to clearly explain and provide evidence of the following: the underlying assumptions, the reasons why the project will bring about the desired change and the pathway of change.

No: A *No* answer would not provide a clear justification for the intervention based on the situation analysis which would be insufficient to understand why a particular course of action was selected.

Mostly: situation analysis does take the theory of change perspective into account but not in a sufficiently explicit or detailed way to warrant a yes

To a limited extent – some elements of the situation analysis do take the theory of change perspective into account but to a very limited extent.

Explanation and documents assessed as evidence of this:

A. *Does the situation analysis explain* **what** *type of change is desired and* **why?** Yes- The situation analysis for Phase II is detailed in the Programme document for PRCM. The first phase of the programme included the conduct of research included in the "Bilan Prospective" which analysed the situation, trends etc in relation to coastal conservation. The Programme Document details the challenges of population growth and increasing urbanisation, industrial development and the development of the tourism and oil sectors, reduction in renewable natural resources. Although compared to other regions of the world, the ecosystems of West Africa are relatively well preserved the region still faces numerous difficulties and obstacles to conservation. The situation analysis concludes that the needs are many and the solutions invariably complex requiring the intervention of a number of actors. It maps the main types of problems, the direct and indirect causes and and priority areas for intervention.

The first phase of PRCM (2004-2008) focused on the construction of partnerships, putting in place the necessary management systems and mobilisation of the actors. Indeed over 50 partnerships were created in the countries of the sub-region involving public administration, research centres, NGOs, communities and funders. The second phase of PRCM (2008-11)

*b. Does the situation analysis explain what is required to bring about a desired change and the **underlying assumptions**?*

Yes -. Mostly - The overall objective of PRCM, the 5 strategic objectives (across three themes), with associated results indicators and activities show the pathway of change. The underlying assumptions for the PRCM programme are detailed in the logframe annexed to the programme documents although there is no coverage of the assumptions in the main programme document. The assumptions underlying the assistance are however listed in the logframe for the programme provided as an Annex to the main programme document.

An external evaluation of Phase 1 of the PRCM in 2006 was used to inform the design of the second phase of the programme in particular the reduction in the number of thematic areas of coverage. Moreover a communication strategy was designed for phase II of the programme (communication et plaidoyer PRCM phase II).

*c.. Does the situation analysis show the **pathway of change** (from actions to outcomes) in terms of why change is expected to happen in a particular way?* Yes – the situation analysis provided in the PRCM-Phase II programme document for 2008-2011 is quite comprehensive and shows the link between the context and need, the work conducted in Phase 1 of PRCM and the actions and outcomes of PRCM Phase II.

d, If the programme / project's design documentation has been updated is there evidence that the theory of change perspective is more explicitly reflected in the newer versions? No evidence available.

Overall assessment: Yes the programme documents for PRCM Phase 2 do adopt a theory of change perspective. The first phase was focused on putting in place the management system and mobilising the actors, while Phase 2 will implement concrete actions to improve the conservation and integrated management of ecosystems (marine and coastal) in West Africa.

Follow-up at interviews:

Was a management response prepared following the mid-term evaluation of PRCM?

Application to M&E Plans and Processes	Yes	Mostly	To a limited extent	No
1.2: Is the theory of change perspective explicitly integrated into programme and project M&E plans and processes?			✔	
a. Is the theory of change clearly articulated in the programme design documents or will evaluators need to unpack it from the programme or project documentation?				
b. Does the monitoring system include some form of risk assessment in terms of the changes to the project's underlying preconditions or assumptions?	No evidence			
c. Do project or programme evaluations test the validity of these preconditions?			✔	

d. Do programme and project evaluations test the validity of the pathway of change – eg. effectiveness and how are outputs converted into outcomes and results?			✔	
e. Do the M&E plans and processes include indicators which can be used to measure outcomes and are appropriate in terms of conformity with SMART criteria?				✔
f. Does the evaluation plan for the programme differenciate between short, medium and long term outcomes and when these results should be evaluated (i e when are they expected to materialise).				✔

Purpose: To determine whether M&E plans and processes incorporate a theory of change perspective.

Yes: A *Yes* answer needs to clearly explain and provide evidence of the following: SMART indicators to measure outcomes, specification of short, medium and long term outcomes, risk assessment in terms of the validity of the underlying assumptions on which the programme is based, a "testable" theory of change.

No: none of the above are present in the M&E plans

Mostly: most elements of the above are present in the M&E plans.

To a limited extent – some elements of the above are evident in the M&E plans and processes.

Explanation and documents assessed as evidence of this:

    a. *Is the theory of change clearly articulated in the programme design documents or will evaluators need to unpack it from the programme or project documentation?*

    Yes – to a limited extent. The theory of change is articulated in the programme documents for Phase 2. Evaluators will not need to unpack it at programme level as it is clearly mapped out in the documentation. The mid-term evaluation of Phase II was able to use a theory of change perspective although the evaluators indicated that there were many deficiencies in the Phase 2 LFM and the poor specification of indicators at results level which meant that it was difficult to measure the impact of the programme.

    b. *Does the monitoring system include some form of risk assessment in terms of the changes to the project's underlying preconditions or assumptions?* No evidence to indicate that risk assessments are performed although the 2009 Annual Report for PRCM indicates that the political and social context in PRCM space was difficult and that institutional instability posed problems in 2009 in some countries.

c. *Do project or programme evaluations test the validity of these preconditions?* Yes to a limited extent. There was not an explicit testing of the pre-conditions although there is evidence that many of the issues raised were examined in the programme evaluation (March 2011) which was reviewed eg. Involvement of different local actors.

d. *Do programme and project evaluations test the validity of the pathway of change – eg. effectiveness and how are outputs converted into outcomes and results?* Yes – to a limited extent. The Mid-Term evaluation did assess the effectiveness and impact of the programme although there were problems with the monitoring data available and the evaluation indicates that there is a need to focus on a smaller number of indicators which can report in a more homogeneous way on the results of Phase II.

e. *Do the M&E plans and processes include indicators which can be used to measure outcomes and are*

appropriate in terms of conformity with SMART criteria? No - The 2011 Mid-term evaluation of Phase II indicates that the indicators at the project level do not in the main conform with SMART criteria and at the programme level the evaluators also found that the monitoring indicators were inadequately defined at programme level.

f. Does the evaluation plan for the programme differenciate between short, medium and long term outcomes and when these results should be evaluated (i e when are they expected to materialise). No – not adequately. The 2009 Annual report does recognise that the results of the programme are built on long term processes and therefore it will take time for many of the results to materialise. However the 2011 Mid term evaluation noted the absence of baselines for the indicators specified as well as specification of short-term and long-term impacts, direct and indirect results.

Overall assessment:

Yes to a limited extent. M&E systems do incorporate a theory of change perspective although there are many difficulties in practice in relation to the collection of good quality monitoring data at project level and there are also problems with the specification of indicators at programme level which makes the measurement of the achievement of results across the programme very difficult.. This means that the M&E system does not support ensuring "testable" theory of change.

Follow-up at interviews:
Views of the projects on the monitoring system, the indicators in use and the challenge of showing results when the programme is about generating long term change.

14. Strengthening the M&E function (Recomm. No 6)

2.1 Evidence of Strengthening and Improvement of M&E functions and resources	Yes	Mostly	To a limited extent	No
a. Is the M&E plan specified for the programme and project adequate, clearly set out and commensurate with the needs of the programme/donor?				✔
b. Is there evidence of monitoring being conducted for each component of the programme?			✔	
c. Does programme monitoring incorporate the measurement of the project's influence on policy?			✔	
d. Is there any evidence of an improvement or strengthening in the M&E function or resources over time eg. improvements in the indicators used, more evaluations commissioned, or others etc.				✔
e. Is there any evidence that the recommendations of evaluations are taken on board and that the feedback mechanism is working effectively or more effectively?	No evidence			
f. Is there a clear baseline for the project/programme against which results can be measured?.	No evidence			
g. Does the monitoring system report on gender disaggregated data?	No evidence			
h. Do evaluation reports reflect on the gender dimensions of a project in terms of specific impacts for example?	No evidence			
	No			

i. Do monitoring reports make any reference to "member engagement" in programme implementation? j. Are there any indicators to measure member engagement?	evidence			

Explanation and documents assessed as evidence of this:

a. Is the M&E plan specified for the programme and project adequate, clearly set out and commensurate with the needs of the programme/donor? No – The mid term review for PRCM (page 50) indicated that the Co-ordination Unit developed in 2009 a Strategy for Monitoring and Evaluation which included a number of tools for monitoring projects in accordance with donor requirements. However the evaluation indicated that the system was not monitoring working as it should with few of the action fiches being transmitted to the Co-ordination Unit. There appeared to be a lack of engagement with project staff and duplication with other M&E requirements. There was also a problem that M&E systems differed from organisation to organisation and there were weaknesses in the specification of indicators at the project level and synergy with programme level indicators. There were also deficiencies in the specification of indicators at programme level.

b. Is there evidence of monitoring being conducted for each component of the programme? Yes to a limited extent– there is evidence that monitoring system is done for the different projects which feeds into the three component areas. However there are deficiencies in collection of monitoring data at the project level which means that the collection of monitoring data across the components is compromised in terms of quality. Moreover there have been problems in terms of grossing up results from the project level due to the heterogeneity of indicators in use.

c. Does programme monitoring incorporate the measurement of the project's influence on policy? Yes – to a limited extent - the mid term evaluation of PRCM does report on the programme's policy influence. It indicates that the programme was most visible in terms of high level national and international decision-makers (although less so at the local level) and that it was successful in exerting policy influence. Some of the indicators specified at programme level relate to strategic or policy influence.

d. Is there any evidence of an improvement or strengthening in the M&E function or resources over time eg. improvements in the indicators used, more evaluations commissioned, or others etc. No – while an M&E strategy was prepared in 2009 there are a number of problems with the M&E system which means that it is not fit for purpose. Page 50 of the Mid-term evaluation of Phase 2 of PRCM (March 2011) indicated that the system of action plans (fiche-action) was not working effectively with few projects completing them, and the previous system of half yearly technical reports abandoned. Moreover although 50% of the projects supported under the programme were required to be evaluated at the mid-term stage only 2 independent evaluations at the project level had been conducted.

e. Is there any evidence that the recommendations of evaluations are taken on board and that the feedback mechanism is working effectively or more effectively?

No evidence - The mid-term evaluation indicated that the Regional Forum was not effectively communicating to its target audience and that its system of formulation of recommendations was not well structured and there was limited monitoring of the implementation of recommendations. The review team did not review a management response to the recommendations in the Mid-Term Evaluation (this was possibly due to its recent publication).

*f. Is there a clear baseline for the project/programme against which results can be measured?.*No evidence of a clear baseline in relation to the results specified for the programme in the log frame although the situation analysis in the programme document does provide the context and initial situation. Moreover a project from Phase 1 "Bilan Prospectif" focused on the analysis of the situation and trends of the coastal zone.

g. Does the monitoring system report on gender disaggregated data? No evidence on this.

h. Do evaluation reports reflect on the gender dimensions of a project in terms of specific impacts for example?

No evidence on this.

i. Do monitoring reports make any reference to "member engagement" in programme implementation? No evidence on this.

j. Are there any indicators to measure member engagement? No evidence on this.

Overall assessment: Yes to a limited extent. While a strategy for M&E was prepared in 2009, the evidence from the 2011 evaluation of Phase II of PRCM is that the monitoring system is not working in practice, the indicators are not fit for purpose and there are difficulties in grossing up results from the project level to the overall programme level. There is no clear baseline in place nor an indication of what types of results will be expected when.

Follow-up at interviews

15. Other Recommendations

3.1 Enhancing capacities for strategic influencing (Recomm 4)	Yes	Mostly	To a limited extent	No
a. Does the regional situation analysis include an assessment of emerging and critical policy developments affecting conservation?				✔
b. Does the project documentation provide details on the policy baseline?				✔
c. Do programming documents indicate how the practice-policy influencing loop will work in practice?			✔	

Purpose: To determine whether there is evidence from the project documentation that the regional situation analysis now adequately covers policy issues.

Yes: Regional situation analysis adequately covers policy issues and the policy baseline is defined.

No: none of the above.

Mostly: situation analysis is good but not as complete or detailed to warrant a full "yes".

To a limited degree – some evidence of the above albeit limited.

Explanation and documents assessed as evidence of this...

a. Does the regional situation analysis include an assessment of emerging and critical policy developments affecting conservation? No - One of the results of the project "Bilan Prospectif" was the analysis of the situation and trends affecting conservation in the region. While policy issues are covered in the situation

b. Does the project documentation provide details on the policy baseline? No - a review of the two projects included in the assessment of PRCM did not show evidence on the policy baseline.

c. Do programming documents indicate how the practice-policy influencing loop will work in practice? No – there is insufficient detail on the practice-policy loop in programming documents.

Overall assessment: No - Policy issues are not adequately covered in either programme or project documentation. Further information on policy issues should be included in the documentation. Moreover a policy baseline should be constructed at the outset to ensure the pathway of policy change can be measured over time.

Follow-up at interviews
 Are projects developing policy baselines during the start up phase?

3.2 Strengthen IUCN as a knowledge organisation (Recomm 5)	Yes	Mostly	To a limited extent	No
a. Is there any evidence on how the knowledge developed by a programme or project will be used in the future?	✔			
b. Is there any evidence that the knowledge developed in a programme or project is shared more widely within IUCN or its members.			✔	
c. Do thematic programmes identify clearly key learning questions to focus learning activities?	**No evidence**			

Purpose: To phase 2 determine whether there is evidence from the project documentation of IUCN using the learning and knowledge acquired through projects to enhance its knowledge management functions.

 Yes: Learning and knowledge developed in projects is widely shared and used.

No: none of the above

Mostly: To a significant degree.

To a limited extent – some evidence of the above albeit limited.

Explanation and documents assessed as evidence of this:

a. Is there any evidence on how the knowledge developed by a programme or project will be used in the future? Yes – there is evidence in the communications strategy for Phase 2 which was developed in response to the 2006 external evaluation of the programme. The mid term evaluation indicates that the key added value of PRCM is in its policy influence (particularly at the high level and internationally), networking, increasing credibility in the eyes of funders as well as generation of scientific, technical and institutional knowledge.

b. Is there any evidence that the knowledge developed in a programme or project is shared more widely within IUCN or its members. Yes to a limited extent– there are a number of tools in place including website, publications, videos as well as presentations at international events, networks and research for example on the impact of the increase in plastic bags on communities and ecosystems. However the mid-term evaluation reported that there was some evidence on presenting a description of the programme rather than its results, lessons learnt good practice etc. The latter would be more useful to both external and internal stakeholders. The mid-term evaluation indicates that the synergies and sharing of information between projects could be enhanced and the co-ordination unit has a role in this area.

c. Do thematic programmes identify clearly key learning questions to focus learning activities? No evidence examined.

Overall assessment: Yes mostly this recommendation is being implemented from the evidence examined. The knowledge developed by the programme will be used in the future and PRCM is committed to this as reflected in its communication strategy. There is however a need to ensure that knowledge(achievements, good practice and know-how) is disseminated rather than the work of PRCM and that there is greater networking and sharing information between the projects supported by the programme.

Follow-up at interviews
 Explore knowledge sharing between projects.

3.3 Transforming the Project Portfolio (Recomm 8)	Yes	Mostly	To a limited extent	No
	✔			
a. Does the project or programme **explicitly** define strategic influencing priorities and activities?	✔			
b. Does the project contain an explicit and convincing policy influencing strategy?	No evidence			
c. Is there any evidence of the project appraisal system applied – for example in the revision of the project proposal following comments?				✔
d. Does project documentation identify what is the added value of IUCN's involvement in the project?	✔			
e. Is there any evidence of joint planning of global programmes and regional initiatives?			✔	
f. Is there any evidence of joint implementation of global programmes and regional initiatives?	No evidence			
g. Do Component workplans clearly show how and if possible which members will be involved in the implementation of the programme?				

Purpose: To determine whether there is evidence from the project documentation of IUCN being more focused on strategic influencing, learning, innovation and knowledge management functions and has a more coherent project portfolio.

Yes: Evidence of the project portfolio clearly demonstrating the strategic influencing objectives and activities and added value of IUCN's involvement.

No: none of the above

Mostly - quite a lot of evidence although not as complete or detailed we needed to warrant a full yes.

To a limited extent – some evidence of the above albeit limited.

Explanation and documents assessed as evidence of this:

*a. Does the project or programme **explicitly** define strategic influencing priorities and activities?* Yes the programme document clearly specifies the policy influence results expected in each of the three component areas of the programme.

b. Does the project contain an explicit and convincing policy influencing strategy? Yes - A communications strategy was elaborated for Phase II which sought to increase the visibility of the programme and increase the capacity of actors to communicate information as well as exert policy influence. The mid term evaluation of PRCM Phase II indicates that one of the added value elements of PRCM is that it develops capacity for policy influence, it involves inter regional as well as intersectoral expertise, it is credible to donors and good potential for the generation of technical, scientific and institutional knowledge.

c. Is there any evidence of the project appraisal system applied – for example in the revision of the project proposal following comments? No evidence.

d. Does project documentation identify what is the added value of IUCN's involvement in the project? No – this is not clearly shown. Indeed the evaluation of PRCM (March 2011) clearly indicates that the co-ordination unit is too closely aligned with IUCN and its administrative and financial management systems. However the mid-evaluation does point to the added value of PRCM which it indicates is its policy influencing work, integration of experts from different sectors in the sub-region, exchanges and the credibility and knowledge concerning scientific, technical and institutional issues.

e. Is there any evidence of joint planning of global programmes and regional initiatives? Yes - The mid term evaluation of PRCN Phase 2 clearly indicates that there are poor synergies between the projects supported by the programme although the programme document does indicate that the second phase of the programme was defined following regional discussions and workshops, as well as the external evaluation of phase I.

f. Is there any evidence of joint implementation of global programmes and regional initiatives? Yes – to a limited extent. While the evaluation team for the mid term evaluation indicated that the co-ordination unit performed well before the launch of Phase 2, they highlighted some issues in relation to the joint implementation of Phase 2 including the sharing of information between projects, poor visibility with local partners and that the co-ordination unit was too closely assimilated with IUCN and its systems and processes. Co-ordination meetings were infrequently organised, gaps in monitoring information on the projects and the failure to identify synergies between the projects were other weakneses. Overall since the projects are implemented by a huge number of partners (through partnerships constructed during Phase 1) the projects were jointly implemented although the interaction between the projects and the co-ordination unit was somewhat sub-optimal.

g. Do Component workplans clearly show how and if possible which members will be involved in the implementation of the programme? No evidence available.

Overall assessment

Yes – overall there is evidence that the PRCM is focused on strategic influencing and that the programme and projects are jointly planned and implemented with partners. However the coherence of the portfolio of 23 projects is not in evidence and there are no links between the projects funded by the programme.

16. Other PM&E Issues to be tested? (From Review of IUCN PM&E Docs)

16.1 Application of IUCN's Results Based Management Approach	Yes	Mostly	To a limited extent	No
bb. Is there evidence that project evaluations are driven by donor preferences rather than those of IUCN?				✔
cc. Is there evidence that project evaluations do not always meet the needs of IUCN in terms of assessing IUCN's influence over policy, behaviour and governance?			✔	✔
dd. Are evaluations conducted at regular intervals – for example mid-term and final?			✔	
ee. Is the system of project management set out in the project documentation adequate?	✔			
ff. Is the monitoring system based on self-reporting?				✔
gg. Does the monitoring system also include verified reporting?				✔
hh. Is there a proper classification of activities and results?			✔	✔
ii. Is there evidence that monitoring results feed into learning and adaptive management?				
jj. Was a management response prepared in response to addressing evaluation report recommendations?				

Purpose: To determine progress in the implementation of IUCN's results based management system (Programme Cycle Management Unit Paper March 2011, "Results Based Management at IUCN: Planning Monitoring and Evaluation").

Yes: Evidence that implementation of IUCN's results based management system is progressing based on improved monitoring systems incorporating more independently verified data, project evaluations are more consistent and can provide evidence to feed into IUCN's results chain and project management standards have improved.

No: none of the above

Mostly – quite a lot of evidence of the above.

To a limited extent: some but limited evidence of the above.

Explanation and documents assessed as evidence of this:

a. Is there evidence that project evaluations are driven by donor preferences rather than those of IUCN?

No – no such evidence from the Mid-term evaluation reviewed.

b.   *Is there evidence that project evaluations do not always meet the needs of IUCN in terms of assessing IUCN's influence over policy, behaviour and governance?* No – no such evidence from the Mid-term evaluation reviewed.

c.   *Are evaluations conducted at regular intervals – for example mid-term and final?* Yes –to a limited extent. Evidence indicates at programme level this is the case. However at project level there is no evidence to suggest that regular evaluations are conducted. Indeed the mid term evaluation of PRCM phase 2 recommends that half of the projects should be subjected to an external evaluation.

d.   *Is the system of project management set out in the project documentation adequate?* Yes – to a limited extent. the co-ordination and management of the programme is described in chapter 5 of the programme document, However the external independent evaluation of phase 2 found weaknesses in the management of the programme in terms of connection between the co-ordination of the projects, and monitoring and evaluation systems.

e.   *Is the monitoring system based on self-reporting?* Yes.

f.   *Does the monitoring system also include verified reporting?* No evidence of verified reporting.

g.   *Is there a proper classification of activities and results?* No - At the project level there is a confusion between outputs and results and it is difficult to link the indicators from the project level to generate a cumulative picture across the programme.

h.   *Is there evidence that monitoring results feed into learning and adaptive management?* No – there is ample evidence from the mid-term evaluation of Phase 2 that the monitoring system is not working in practice and therefore not serving a useful feedback mechanism in practice.

i.   *Was a management response prepared in response to addressing evaluation report recommendations?* Yes to a limited extent. There is some evidence to support the taking on board the recommendations of the external evaluation of Phase 1, no such evidence was available concerning the midterm review of Phase 2 due to its recent finalisation.

Overall assessment:

No – this is practically no evidence to support the application of IUCN's results based management system is through the use of improved monitoring systems incorporating more independently verified data, regular project evaluations, and evidence that the programme's co-ordination and management is functioning well. There is a clear need to improve the M&E system prior to the launch of phase III as well as increase the interaction between the co-ordination unit and the projects.

Follow-up at interviews

Summary of main findings from Desk Review of PRCM

Overall assessment of level of progress with the implementation of the following recommendations:

Recommendation No 3: Yes to a limited extent this recommendation on the application of the Theory of Change perspective to project planning and M&E systems is being applied. While the Theory of change perspective is reflected in the programme document for Phase 2, the weaknesses of the monitoring system mean that this recommendation is not fully implemented. The monitoring system suffers from poorly specified indicators (not SMART) at project and programme level, difficulties in grossing up results from the project level

to the programme level, no risk assessment or testing of the underlying assumptions and few project evaluations being conducted. Therefore the recent programme level evaluation (March 2011) of PRCM was severely constrained in its ability to measure impacts and show the pathway of change due to these defects in the monitoring system.

Recommendation No 4: No – limited evidence on strategic influencing recommendation being implemented. Policy issues are not adequately covered in either programme or project documentation. Further information on policy issues should be included in the documentation. Moreover a policy baseline should be constructed at the outset to ensure the pathway of policy change can be measured over time.

Recommendation No 5: Yes mostly this recommendation is being implemented from the evidence examined. The knowledge developed by the programme will be used in the future and PRCM is committed to this as reflected in its communication strategy. There is however a need to ensure that knowledge (achievements, good practice and know-how) is disseminated rather than the work of PRCM and that there is greater networking and sharing information between the projects supported by the programme.

Recommendation No 6: Yes to a limited extent – recommendation 6 on strengthening the M&E function is being implemented. While a strategy for M&E was prepared in 2009, the evidence from the 2011 evaluation of Phase II of PRCM is that the monitoring system is not working in practice, the indicators are not fit for purpose and there are difficulties in grossing up results from the project level to the overall programme level. There is no clear baseline in place nor an indication of what types of results will be expected when.

Recommendation No 8: Yes there was evidence to support the implementation of Recommendation number 8 concerning the transformation of the project portfolio. Overall there is evidence that the PRCM is focused on strategic influencing and that the programme and projects are jointly planned and implemented with partners. However the coherence of the portfolio of 23 projects is not in evidence as there is poor evidence of linkages between the projects funded by the programme.

Other PM &E Issues to be Tested: No – this is practically no evidence to support the application of IUCN's results based management system is through the use of improved monitoring systems incorporating more independently verified data, regular project evaluations, and evidence that the programme's co-ordination and management is functioning well. There is a clear need to improve the M&E system prior to the launch of phase III as well as increase the interaction between the co-ordination unit and the projects.

Overall: Phase 2 of PRCM has evolved considerably from Phase 1 which focused on the creation of partnerships, putting in place the management systems and mobilising the actors, with Phase 2 moving into project implementation. 23 projects were supported by Phase 2. While many oof the recommendations of the 2007 External review were implemented, problems remain with a dysfunctional monitoring system which means that the IUCN evaluation and results based management systems cannot work in practice. The co-ordination unit for the programme seems to have distanced itself from the projects and there is a need for greater co-ordination and a reform of the monitoring system for the next phase of the programme and to ensure the implementation of all of the recommendations of the 2007 External Review.

5   Alianzes

Background Information

Name of programme / project: Proyecto Alianzas / Alliances Project Phase 1 and 2

Documents Reviewed:

- IUCN-NORAD Framework Program – Mesoamerica. Program Document, August 2002 (English)
- MID-TERM REVIEW AND APPRAISAL OF PROJECTS IN THE NORWEGIAN PROGRAMME FOR SUSTAINABLE USE OF NATURAL RESOURCES IN CENTRAL AMERICA WANI Final Report Technical. June 2006 (English)
- ALIANZAS SOLIDARIAS PARA LA GESTION TERRITORIAL SOSTENIBLE EN CENTROAMÉRICA (Alliances Phase 2 Project Proposal). 2009. (Spanish)
- Alliances 2 Annual Project Report 2009 (Spanish)
- Alliances 2 Annual Project Report 2010 (Spanish)
- Actas de las Reuniones del Comité Directivo de Alianzas (Steering Committee Meeting reports) (Spanish)
- Actas de las Reuniones anuales UICN / Norad (IUCN NORAD Annual Meetings reports) (Spanish)
- Principales productos vinculantes y procesos de la incidencia de las alianzas 2004-2009 (A 2004-2009 summary of key policy influencing products and processes) (Spanish)
- La relación de cooperación Noruega con la UICN-Mesoamérica y su enfoque adaptativo.. Jesus Cisneros, 2009 (IUCN Norway cooperation and its evolution)
- Reporte de seguimiento de las evaluaciones Intermedia y Final del proyecto ALIANZAS. 2008. (Follow-up Reporto on the recommendations of the Alianzas mid-term and final evaluations) (Spanish)

Proforma completed by: Alejandro Imbach

Brief Summary of the Programme:

Core /Thematic Area:

Responsible Officer /Department in IUCN: Phase 1. Jesus Cisneros. Project Coordinator. ORMA Regional Director: Enrique Lahmann (until 2005) and Grethel Aguilar (since 2005)

Phase 2. Ronald McCarthy, Biodiversity and Sustainable Use Unit (ORMA). Unit Head: Arturo Santos. ORMA Regional Director: Grethel Aguilar

Type of project: Small Medium Large

Budget:

      Alliances Phase 1. US$ 4,3 Million

      Alliances Phase 2. US$ 1,4 Million

Programme Start and End dates:

      Alliances Phase 1. 2004 - 2008

Alliances Phase 2. 2009 - 2011

Alliances Phase 1 & 2 location.   Six local consortia in 3 transboundary areas: Paz River (Guatemala and El Salvador Consortia); San Juan river (EL Gaspar Consortium, Nicaragua and Los Humedales Consortium, Costa Rica) and Sixaola river (Talamanca consortium, Costa Rica, and Alianza Bocas consortium, Panama)

These 6 consortia remained during the two phases. Each consortium was integrated by several local organizations, local Governments (in all of them) and local agencies of national Governmental institutions. The total number of organizations in the consortiums changed along time, with a clear trend towards and increasing number reaching close to 100 in these days at the end of the Project.

Overall Objective:

Alliances Phase 1.   Key ecosystems (forests, coastal and freshwater) in Mesoamerica conserved and sustainably use, improving the quality of life of people in Mesoamerica

Alliances Phase 2.   Natural resources management and quality of life of the population has improved in key areas for biodiversity conservation in Central America

Overall Result:

Alliances Phase 1. After the conclusion of the Phase 1 the six consortia at the selected sites were established, active and strengthened in their capacities, in areas where not such type of organization existed before. Several of them had started to get their own projects and a couple were moving towards being legally recognized as organizations of second level. Most of them were recognized by other organizations and projects as local structures of choice for the implementation of different activities and processes.   Close to a 100 organizations were members to the Alianzas promoted consortia, and all local governments (Municipalities) at the six sites were participating actively in their respective consortia.

Alliances Phase 2. This project is an extension of Phase 1 aiming to consolidate the weaker consortia basically in terms of financial sustainability. This consolidation is taking place through additional training, some access to competitive funding to have them developing their capacities for bidding and very basic core funding to ensure their operation during this period. It is expected that at the end of this Phase the consortia will be already on their way able to lead local development and conservation processes and to manage their own sustainability.

Project Purpose with Objectively Verified Indicators (OVIs):

PHASE 1

An effective mechanism links organized stakeholders involved in sustainable management of ecosystems in field sites with policy-making activities and governance processes at different levels.

OVIs:

➢ **By 2008, at least 40% of community groups participate in the implementation of activities in Local Initiatives of Conservation and Sustainable Development in three Geographic Areas of Concentration without external assistance, through the Local Consortia facilitated by the**

Program

➢ **By 2008, the Program has already successfully exited two concentration areas or is at least ready to do so**

➢ **Communities in concentration areas share their experience with other communities living in or using similar ecosystems**

➢ **By 2008, resource allocations (budget, staff, etc) from external agencies to the Local Initiatives of Conservation and Sustainable Development have increased 25%**

PHASE 1. Project Results with OVIs (bulleted below each Result/Programme Output)

Program Output 1

Organized stakeholders in selected areas (3) empowered to manage key ecosystems sustainably to improve their livelihoods and to influence management of similar ecosystems outside those areas.

➢ **Local consortia established and strengthened in each Geographic Area of Concentration**
➢ **More than 50% of the local organized groups participating in consortia activities at each Local Initiative of Conservation and Sustainable Development in the GAC**
➢ **GAC stakeholders extract lessons generated by their own experience and make them available to others**
➢ **Decision-makers at different levels participate in a regular annual cycle of lessons-learned events organized with strong participation of local stakeholders**

Program Output 2

Key regional ecosystems (and forces upon them) monitored and valuated at Geographic Areas of Concentration, and results fed into policy and decision-making in Mesoamerica

➢ **Monitoring systems for key ecosystems developed and being tested by year 5 in each GAC, based on the results of the Baseline Study (IUCN, 2001)**
➢ **At least one case study of ecological and economic ecosystem valuation completed**
➢ **Decision-makers and other persons related with key-ecosystem management in the region exposed to monitoring reports**

Program Output 3

Organized stakeholders managing or influencing management of key ecosystems in areas of concentration and other sites have acquired the technical and organizational skills required for their tasks and are using them.

➢ **Organized stakeholders managing key ecosystems at concentration areas and Local Initiatives of Conservation and Sustainable Development have acquired the necessary skills for their tasks through a variety of training means.**
➢ **Decision-makers and other persons related with key-ecosystem management in the region exposed to awareness-raising and training events**
➢ **All Program beneficiaries have access to key information and data related with key ecosystems**

Program Output 4

Local policies and governance mechanisms in place addressing key ecosystem management issues

➢ **The work agendas of local governments include and adopt policies for ecosystem management**
➢ **Concepts about resource management under an ecosystem approach have been integrated in the work mechanisms of local governments**
➢ **Decision-makers and others persons related with key-ecosystem management in the region exposed to awareness-raising and training events related to ecosystem management issues**

Program Output 5

Impact of IUCN-promoted national and regional policies on local ecosystem management processes assessed at GACs

- ➢ **Regional and national policies promoted by IUCN and other agencies have permeated decision-making at the local level**
- ➢ **Local ownership of the processes of national and regional policy for ecosystems management**
- ➢ **Decision-makers and others persons related with key ecosystem management in the region exposed to program results and product related to ecosystem management processes at GACs, through specially targeted events.**

Program Output 6

New or updated national and regional policies on environmental management in place, using lessons learned in GACs

- ➢ **Decision-makers systematically exposed to Program results and products through specially targeted events and publications**
- ➢ **Changes favorable to ecosystem conservation and sustainable use registered in policies and legislation related to key ecosystems at the national and regional level**

Program Output 7

Communication systems in place linking local experiences horizontally and vertically with regional thematic networks and policy-making processes

- ➢ **Organized stakeholders managing key ecosystems at geographic areas of concentration have acquired the necessary skills for their communications tasks through a variety of training means.**
- ➢ **Decision-makers and other persons related with key ecosystem management in the region exposed to awareness-raising and training events related with communications issues for policies.**
- ➢ **All Program beneficiaries have access to key information and data related with key regional thematic networks and policy-making processes.**

Program Output 8

Effective Program management and monitoring achieved

- ➢ **Program indicators achieved**
- ➢ **Budget spent as planned**
- ➢ **Program Monitoring System in place**

NOTE. Performance indicators are also listed in the Program document for each Programme Output

Project Purpose with Objectively Verified Indicators (OVIs):

PHASE 2

Six consortia of local groups in three border areas have been consolidated, are able to manage projects and influence the management and resource management policies local natural and transboundary

(No OVIs included in the Project document for the Project purpose)

PHASE 2. Project Results with OVIs (bulleted below each Result/Programme Output)

1. Consortia of local groups strengthened in their operational and associative capacities succeed in creating a democratic and inclusive space.
    1.1 Joint Implementation of new projects between consortium members demonstrate improvements in associativity.
    1.2 Representation of marginalized groups (women, indigenous people, youth) show empowerment of these groups and greater equity within the consortium
    1.3 Balance between costs and revenues from their own negotiations demonstrate consortium financial sustainability, and the investment of the consortium organizations on partnering activities has grown

2. Consortia of local groups manage their own projects linked to advocacy actions at the local level and across borders to a greater degree of autonomy
    2.1 Shared agendas with local governments demonstrate consortium impact on local policies space.
    2.2 Successful negotiation of projects and other financial support from sources different than Alliances or IUCN demonstrate consortium ability to attract funds.

3. Consortia of local groups increase their territorial impact on key issues such as biodiversity management and local livelihoods improvements, through the negotiation and implementation of new projects and strategic alliances
    3.1 Projects of incidence for the management of ecosystems and native species demonstrate consortium impact on local policies of conservation and sustainable use of biodiversity.
    3.2 Organizations of consortia linked to production chains initiatives demonstrate consortium territorial impact to improve local livelihoods.

Note – please note that the project had different phases – please note budget and changes to countries, purpose, results etc in phase 1 and phase 2.

17. Application of Theories of Change to Project Planning and M&E Processes (Recomm No 3)

Application to Project Planning *1.1: Is a theory of change perspective explicitly integrated into the **situation analysis** of the programme/project's design documentation.* a. Does the situation analysis explain **what** type of change is desired and **why?** b. Does the situation analysis explain what is required to bring about a desired change and the **underlying assumptions**? c.. Does the situation analysis show the **pathway of change** (from actions to outcomes) in terms of why change is expected to happen in a particular way? d, If the programme / project's design documentation has been updated is there evidence that the theory of change perspective is more explicitly reflected in the newer versions?	Yes	Mostly	To a limited extent	No
a.	✔			
b.			✔	
c.	✔			
d.	**NA**			

Purpose: To determine whether the rationale for the intervention is sufficiently and clearly justified in the situation analysis for the programme / project. Yes: A *Yes* answer needs to clearly explain and provide evidence of the following: the underlying assumptions, the reasons why the project will bring about the desired change and the pathway of change. No: A *No* answer would not provide a clear justification for the intervention based on the situation analysis which would be insufficient to understand why a particular course of action was selected. Mostly: situation analysis does take the theory of change perspective into account but not in a sufficiently explicit or detailed way to warrant a yes To a limited extent – some elements of the situation analysis do take the theory of change perspective into account but to a very limited extent.

Explanation and documents assessed as evidence of this:
 	
*a. Does the situation analysis explain **what** type of change is desired and **why?***
 	
    a) Phase 1 of Alliances was preceded by a Baseline exercise carried out during the last 8 months of 2001 in all areas pre-selected as transboundary sites with their respective organizations at both sides of each border. This Baseline exercise, funded by the donor prior to the approval of the Framework Programme, was used to serve two purposes: 1. To engage with the local organizations that would become later members of the consortia. 2. To collect the information required by the Baseline.
    b) This long exercise allowed the Project to develop a good understanding of the situation at each site and the type of changes required. The Phase 1 Project document (2003) describes the situation and the changes clearly even when the specific wording on "theory of change" was not used.
    c) Between Phase 1 and Phase 2 there was a one-year "bridging" period that was used to implement a reflection process at the different levels (including the consortia) about the changes achieved during Phase 1 and the challenges of Phase 2; these analysis led to changes in the project strategy based on the progress achieved during Phase 1 and the need to overcome different weaknesses. Again, the document for Phase 2 clearly explains the changes that were needed and why.
    d) EVIDENCE: Project documents, Baseline documents, Reflection documents.
 	
*b. Does the situation analysis explain what is required to bring about a desired change and the **underlying assumptions**?*
 	
a)   In both cases (Phases 1 and 2) the situation analysis explains what is needed to achieve the expected changes. What are not explicit in any of both documents are the underlying assumptions. It seems that these issues were discussed at the staff meetings organized to prepare the mentioned documents but there is no record

available about what was discussed or agreed.

b)   EVIDENCE: Project documents, Baseline documents, Reflection documents (sistematizaciones)

*c.. Does the situation analysis show the **pathway of change** (from actions to outcomes) in terms of why change is expected to happen in a particular way?*

a)   Yes, in both cases the sequence of activities and the performance indicators (in the case of Phase 1) of the different results showed a gradual pathway towards achieving the expected changes. There is not an explicit presentation about why changes were expected to happen in the particular chosen way or a presentation of possible alternative pathways.

b)   On the other hand, the reflection documents (sistematizaciones) show clearly that the Project staff met frequently, especially during the first years, to analyze the progress of the project; in many documented cases the staff changed its strategies and implementing procedures and / or added new activities (e.g. training) to deal with the constrains and obstacles that were emerging during the implementation. Something similar can be said about the meetings of the Alianzas Steering Committee and the IUCN Norway annual one that always had specific sessions devoted to analyze the progress of the project, the constraints, how to adapt to overcome the constraints, etc. In other words, Alliances had during its entire life (both Phases) a very active process of "adaptive management". There are good summaries about how Alianzas adapted along its long life in the reflection documents.

c)   EVIDENCE: Project documents, Baseline documents, Reflection documents (sistematizaciones)

OVERALL ASSESSMENT: Yes, the theory of change perspective is included in the situation analysis, but not using the particular "theory of change" jargon as title for headings, sections or key paragraphs

Information from interviews maintained during DP/AI visit to Mesoamerica

During the short interviews kept with the Project staff and other local stakeholders there was not recognition of the "theory of change" wording. Given these answers and the documented evidence it seems that the Project staff actually used the principles and concepts underlying the "theory of change" approach, without being formally exposed to them (explaining its absence from the discourse).

In this regard, it is interesting to highlight that other expressions such as the "ecosystem approach" or the "sustainable livelihoods approach" or the "ecosystem-based adaptations to climate change" were adopted both in practice and discourse.

Application to M&E Plans and Processes *1.2: Is the theory of change perspective explicitly integrated into programme and project M&E plans and processes?*	Yes	Mostly	To a limited extent	No
a. Is the theory of change clearly articulated in the programme design documents or will evaluators need to unpack it from the programme or project documentation?		✔		
b. Does the monitoring system include some form of risk assessment in terms of the changes to the project's underlying preconditions or assumptions?				✔ (but... see notes)
c. Do project or programme evaluations test the validity of these preconditions?		✔		
d. Do programme and project evaluations test the validity of the pathway of change – eg. effectiveness and how are outputs converted into outcomes and results?	✔			
e. Do the M&E plans and processes include indicators which can be used to measure outcomes and are appropriate in terms of	✔			

conformity with SMART criteria? *f. Does the evaluation plan for the programme differentiate between short, medium and long term outcomes and when these results should be evaluated (i e when are they expected to materialise).*	✓			

Purpose: To determine whether M&E plans and processes incorporate a theory of change perspective.

Yes: A *Yes* answer needs to clearly explain and provide evidence of the following: SMART indicators to measure outcomes, specification of short, medium and long term outcomes, risk assessment in terms of the validity of the underlying assumptions on which the programme is based, a "testable" theory of change.

No: none of the above are present in the M&E plans

Mostly: most elements of the above are present in the M&E plans.

To a limited extent – some elements of the above are evident in the M&E plans and processes.

Explanation and documents assessed as evidence of this:

o. *Is the theory of change clearly articulated in the programme design documents or will evaluators need to unpack it from the programme or project documentation?*
   a) The theory of change is not explicitly presented as such in the document. Its perspective underlines clearly the different documents and evaluators have a clear framework in terms of objectives and results to examine in the assessment of the programme.
   b) As mentioned, there is not documentation of the underlying assumptions; the assumptions presented in the logframe are related, as required by the logframe, to the external factors that can affect the implementation, not to the assumptions related to the ways in which changed is promoted.
   c) The project proposal and M&E systems provide the framework to develop the theory of change at project level, with the situation analysis, project goals and outcomes all included in these documents. Therefore the theory of change will not need to be unpacked at project level,

p. *Does the monitoring system include some form of risk assessment in terms of the changes to the project's underlying preconditions or assumptions?*
   a) As mentioned there is not an explicit presentation of the underlying assumptions other than the external. Therefore, the M&E system does not deal with them explicitly. On the other hand, the documents and the decisions made by the Project staff show that these underlying assumptions were examined when there was a need to make changes in the project implementation mechanisms (e.g. ways of allocating funds, different modalities tried by the projects to deal with Project coordination at local level, etc.). In other words, the self-reflection/self-evaluation events favoured by the project seem to have actually looked at and modified those assumptions.

c. *Do project or programme evaluations test the validity of these preconditions?*

   a) The Phase 1 mid-term and final evaluations addressed the risk analysis in an explicit way (sections in the pertinent documents). However, these analyses were focused mostly on the factors mentioned in the logframe. There is no evidence of analysis of the assumptions on the way suggested by the Project about how to achieve change, as already mentioned.

d. *Do programme and project evaluations test the validity of the pathway of change – eg. effectiveness and how are outputs converted into outcomes and results?*

   a) The evaluations did not address this issue in terms of validity of the pathway of change or conversion of outputs into outcomes. What they did was to analyze the achievement of the logframe and performance indicators (Phase 1) and the progress from Baseline to Goals (Phase 2).

e. *Do the M&E plans and processes include indicators which can be used to measure outcomes and are*

appropriate in terms of conformity with SMART criteria?

    a)   Phase 1 Project document includes outcome indicators for all Objectives (development and project) and Results. Phase 2 indicators are also focused on Outcomes in terms of things done by the beneficiaries not by the Project and, therefore, proposing expected changes in ways of working / behaviour of the targeted stakeholders.

    b)   In general there is a good compliance with the SMART criteria with a variable level of flexibility; in some cases there is not full compliance with all criteria and there are a few indicators that definitively are not SMART

f. Does the evaluation plan for the programme differentiate between short, medium and long term outcomes and when these results should be evaluated (i e when are they expected to materialise).

    a)   Phase 1 Outcome and performance indicators define the year in which the expected changes or results should be achieved or key outputs should be delivered. The external evaluations did take that into consideration (e.g. Mid-term review 2006). Phase 2 was too short (2 years) and this differentiation was not made.

OVERALL ASSESSMENT: YES
Theory of Change perspective is mostly applied to M&E processes, particularly during Phase 1 that was longer and more ambitious than Phase 2 that is almost an adjusted extension of the other.

Follow-up at interviews:
NA

18. **Strengthening the M&E function (Recomm. No 6)**

2.1 Evidence of Strengthening and Improvement of M&E functions and resources	Yes	Mostly	To a limited extent	No
a. Is the M&E plan specified for the programme and project adequate, clearly set out and commensurate with the needs of the programme/donor?	✔			
b. Is there evidence of monitoring being conducted for each component of the programme?	✔			
c. Does programme monitoring incorporate the measurement of the project's influence on policy?		✔		
d. Is there any evidence of an improvement or strengthening in the M&E function or resources over time eg. improvements in the indicators used, more evaluations commissioned, or others etc.	✔			
e. Is there any evidence that the recommendations of evaluations are taken on board and that the feedback mechanism is working effectively or more effectively?	✔			
f. Is there a clear baseline for the project/programme against which results can be measured?.	✔	✔		
g. Does the monitoring system report on gender disaggregated data?				
h. Do evaluation reports reflect on the gender dimensions of a project in terms of specific impacts for example?	✔			
i. Do monitoring reports make any reference to "member engagement" in programme implementation?			✔	
j. Are there any indicators to measure member engagement?	✔			

Purpose: To determine whether there is evidence from the project documentation of an improvement in M&E.

Yes: Clear well specified M&E plan and definitive and substantial evidence of improvement in M&E from a review

of the monitoring data and evaluation reports for the project.

No: none of the above

Mostly: M&E plan exists and significant improvements are evident in M&E systems.

To a limited degree – some improvements in M&E plans and processes are evident although further improvements needed in many areas eg monitoring of gender, member engagement etc.

Explanation and documents assessed as evidence of this:

d. Is the M&E plan specified for the programme and project adequate, clearly set out and commensurate with the needs of the programme/donor?
   a) In Phase 1 the M&E System was structured around two aspects: Results monitoring and Performance monitoring. The second one was divided in two areas: Consortia monitoring and Project monitoring, the concept was to monitor the activities and achievements of each consortia and, separately, those of the Project staff (the Project) dealing with local, national and regional activities.
   b) The mentioned systems were initially strengthened and supported by an Internet-based Management system that hosted the different workplans and associated reporting instruments.
   c) External Reviews did not include comments about weaknesses or significant failures in the M&E system. In fact Alianzas was one of the pilot projects that adopted the recommendations and methods from the Global IUCN M&E Programme run in the late 90s and early 2000s from HQ being ORMA one of the pilot regions (along with Eastern and Southern Africa).
   d) There were difficulties to monitor the impacts of the Project in terms of highly aggregated indicators such as areas of ecosystems managed sustainably or numbers of people whose livelihoods improved. All these problems were part of a larger global discussion (exceeding not ORMA but also the entire IUCN) about attribution, about the cost of doing those evaluations vis-a-vis their usefulness, short-lived attempts to address value-for-money and cost-effectiveness approaches, etc. In fact, this discussion about assessing impact has not been solved satisfactorily yet. (see more in paragraph f) below).

e. Is there evidence of monitoring being conducted for each component of the programme?
   a) Yes - the monitoring of the programme was conducted at local, national and regional levels in both Phases. While Phase 1 had clear components on the three levels, Phase 2 is more focused on the local level, as its purpose is the consolidation of the local consortia.

f. Does programme monitoring incorporate the measurement of the project's influence on policy?
   a) Yes, because the influence of the Project in policy at different levels (local, national and eventually regional) was included in both Outcome and performance indicators.

g. Is there any evidence of an improvement or strengthening in the M&E function or resources over time eg. improvements in the indicators used, more evaluations commissioned, or others etc.
   a) Yes. Several adjustments were introduced along the years in the planning, monitoring and self-evaluation processes and instruments to improve their effectiveness and efficiency. There is evidence of these changes in the project documentation.
   b) Additionally, during Phase 1 and at the end of it, the Project commissioned some additional evaluation studies to analyze, guide reflections and extract lessons-learned in key areas of Alianzas, such as the "Analysis and reflection about the first 2 years of Alianzas project implementation", "Alianzas model", "Consortia performance", etc

h. Is there any evidence that the recommendations of evaluations are taken on board and that the feedback mechanism is working effectively or more effectively?
   a) Yes. There are documents (e.g. from 2008) dedicated to analyze the extent in which the recommendations of the 2006 Mid-term External Review were adopted (most of them were, according to the document).
   b) It is also evident that the Recommendations of the Phase 1 Final evaluation were taken into consideration into the design of Phase 2.

f. Is there a clear baseline for the project/programme against which results can be measured?.

a) A detailed study (named "baseline study) was conducted in 2001, <u>before</u> the final design and approval of the Project. Despite the name, it became evident that the information gathered at the Baseline exercise in 2001 was very useful to develop a good situation analysis of each consortium area leading to a good Project design.
b) On the other hand this study (that cannot be really defined as a baseline as it was done before the Project was designed) was not good enough to make comparisons 5 years later and finding (or not) statistically valid differences.

g. Does the monitoring system report on gender disaggregated data?

a) There is a specific Result related to gender equity and specific indicators to track its applications throughout the consortia activities, from training organizations and leaders, to women participation in planning, implementation, decision making, etc. The Project reported on them and also on other indicators that were less specific about gender.
b) The mentioned components above were explicit in Phase 1 and not included in Phase 2, probably because Phase 2 is conceived as an extension focused on local consortia where gender equity is already established.

h. Do evaluation reports reflect on the gender dimensions of a project in terms of specific impacts for example?

a) Yes. As an example the 2006 MTR states explicitly the good level of women integration in the Sixaola area (Talamanca and Bocas consortia). Moreover, it highlights the adoption of internal gender equity regulation by the Bocas consortium.
b) In 2009, Alianzas developed a Gender and indigenous people strategy that was included in the design of Phase 2

i. Do monitoring reports make any reference to "member engagement" in programme implementation?

a) Yes, members active in the areas of the consortia were incorporated into them. In almost all cases a member organization was hired to do the administration of Alianzas funds for each consortium and/or the facilitation of consortium work. IUCN members are clearly identified in the list of members of the consortia included in the project document.
b) The President of the Regional Members Committee was also member of the Alianzas Steering Committee, the high-level structure that provided strategic direction to the Project and met twice a year.
c) In some cases, such as the Guatemala, Nicaragua and Panama National Members Committees, they made a follow-up of Alianzas activities and Alianzas reports and issues were frequently in the Committees meeting agendas. This engagement was not established in the Project document but happened in practice.
d) This larger-than-usual engagement of members and members structures can be attributed to the fact that the ORMA Member-liaison Officer was part of the Alianzas design team and also its first Project Coordinator.
e) The role of members continued in Phase 2 but this phase is more focused on strengthening consortia sustainability and exit strategies to ensure sustainability of the consortia, and less on members engagement.

j. Are there any indicators to measure member engagement?

a) Yes, to an extent. There are 2 indicators in Phase 1 project document that explicitly mention IUCN members engagement and they were tracked by the M&E system. These indicators were absent in the Phase 2 Project document.

<u>OVERALL ASSESSMENT: YES</u>

There is evidence of both a reasonably good M&E system established at the beginning of the Project and about the use of the M&E products to improve both different project activities and processes, as well as the M&E system itself. The M&E system included cross-cutting aspects such as gender equity and members engagement.

The main weakness of the M&E system was the so called "baseline study" that seem not to have been a baseline but a situation analysis study and that, at then at the end of phase 1, proved ineffective to quantify the expected

impacts of the Project on biodiversity and livelihoods.				

Follow-up at interviews
 NA

19. Other Recommendations

3.1 Enhancing capacities for strategic influencing (Recomm 4)	Yes	Mostly	To a Limited extent	No
a. Does the regional situation analysis include an assessment of emerging and critical policy developments affecting conservation?			✔	
b. Does the project documentation provide details on the policy baseline?			✔	
c. Do programming documents indicate how the practice-policy influencing loop will work?		✔		

Purpose: To determine whether there is evidence from the project documentation that the regional situation analysis now adequately covers policy issues.

Yes: Regional situation analysis adequately covers policy issues and the policy baseline is defined.

No: none of the above. ✔

Mostly: situation analysis is good but not as complete or detailed to warrant a full "yes".

To a limited degree – some evidence of the above albeit limited.

Explanation and documents assessed as evidence of this...

d. *Does the regional situation analysis include an assessment of emerging and critical policy developments affecting conservation?*
   a) Yes, to a limited extent. There are mentions to policy issues related to the environmental global conventions, to regional agreements (ALIDES, Central American Sustainable Development Alliance, signed by the Presidents of the countries), to very few national cases (e.g. Nicaraguan Biodiversity Law).
   b) The above listed were basically mentioned as opportunities. One of the design elements of Alianzas was that policies at different levels were to be fed by experiences coming from the local consortia. As the first years of the project were planned to develop these consortia, the policy component was planned to start at the third year of the Project; therefore, and given the political fluidity of the region, not major efforts were allocated to detailed or specific policy analysis.
e. *Does the project documentation provide details on the policy baseline?*
   a) Yes, to a limited extent. The 2001 baseline was focused on local sites; therefore there is mention to the need to influence local policies (Municipality level) and from there to influence higher level policies and policy-making processes (e.g. national).
   b) Therefore, there is not an explicit, well documented, policy baseline document.

f. *Do the programming documents indicate how the practice-policy influencing loop will work in practice?*
   a) Yes, mostly. The Project document describes the way the loop will work in practice, starting at the local level with the engagement of local governments (Municipalities) in the consortia (something that was fully achieved) to improve or develop local regulations and by-laws.
   b) The process to move from local to national level is sketchier and basically more reliant on IUCN contacts, engagement of national members and the action of the consortia themselves with the support of local governments and national NGOs engaged.
   c) In 2008 a Handbook of policy influencing for the consortia was developed and distributed by

Alianzas. One year later, in 2009, the Project carried out a Characterization Study of the three transboundary areas where the Alianzas consortia were active.

d) There is also a good summary updated until 2009 about the work done by Alianzas regading local, national, transboundary and regional policies and processes

e) Phase 2 Project document is less developed on these issues and it just mentions incidence in local policies and participation in transboundary processes that may lead to international policies and legislation between the involved countries.

OVERALL ASSESSMENT: YES, MOSTLY, BUT FOCUSED ON LOCAL POLICIES

Regarding policy aspects it is clear that the Alianzas planning document and supporting information had a clear interest in policy (as demonstrated by three Results devoted to it) but most of the planning was focused on local policies. Actual implementation showed that Alianzas engaged in providing inputs to local, national, transboundary and regional policies with good results at the local level, some policy results in Panamá and El Salvador, and several events and awareness creation at the transboundary and regional levels.

Follow-up at interviews

3.2 Strengthen IUCN as a knowledge organisation (Recomm 5)	Yes	Mostly	To a limited extent	No
a. Is there any evidence on how the knowledge developed by a programme or project will be used in the future?	✔			
b. Is there any evidence that the knowledge developed in a programme or project is shared more widely within IUCN or its members?	✔			
c. Do thematic programmes identify clearly key learning questions to focus learning activities?	n/a			

Purpose: To determine whether there is evidence from the project documentation of IUCN using the learning and knowledge acquired through projects to enhance its knowledge management functions.

Yes: Learning and knowledge developed in projects is widely shared and used.

No: none of the above

Mostly: To a significant degree.

To a limited extent – some evidence of the above albeit limited.

Explanation and documents assessed as evidence of this:

b.   *Is there any evidence on how the knowledge developed by a programme or project will be used in the future?*
    a) The knowledge generated by Alianzas was already used to develop projects and programs by the consortia. One of the key features of the Alianzas Phase 1 (discontinued in Phase 2 due to restricted budget and a narrower focus) was the organization of annual regional meetings of consortia organizations funded partially by Alianzas and partially by the participants. These gathering were heavily focused on exchanges of experiences between the local groups and there was a significant flow of ideas, information and experiences among them, leading to new initiatives.
    b) These exchanges of experience also reached other ORMA Projects that participated in the events.
    c) Moreover, several of the Alianzas consortia are now implementing projects in their areas with other ORMA projects (e.g. Water Management, environmental Policy and governance, Advocacy fund, etc.) due to exchanges and mutual knowledge derived from Alianzas.

b. Is there any evidence that the knowledge developed in a programme or project is shared more widely within IUCN or its members.

    a) Alianzas participated actively in members meetings and, as mentioned before, Alianzas points were included frequently in the agenda of several National Members Committees.
    b) The Alianzas annual meetings of the consortia members from all sites were always attended by IUCN members from the country where they were held as well as partners, governmental organizations, etc. The key feature of these events was the exchenge of exoeriences. Moreover, in 2007 Alianzas developed a Handbook for exchanging experiences for the consortia organizations and in 2008 a Manual of process analysis and reflection (Sistematizacion) to contribute to greater effectiveness of these events.
    c) Alianzas also participated actively through the consortia IUCN members and its staff in the IUCN World Conservation Congresses in Bangkok and Barcelona with stands, posters, special side events, etc., projecting the experience to members from other regions. These contacts led later to additional exchanges of information and some contacts from other regions of the world (Spain, Eastern Europe) to learn from Alianzas experiences. There are no records about replication of the Alianzas experiences in other regions of the world.

c. Do thematic programmes identify clearly key learning questions to focus learning activities?

    a) It is not possible to assess this aspect based on available evidence

OVERALL ASSESSMENT: YES

Knowledge sharing and learning was a key component of Alianzas. There is strong evidence of learning and knowledge sharing being a key component in its implementation at several levels (local to international)

Follow-up at interviews

NA

3.3 Transforming the Project Portfolio (Recomm 8)	Yes	Mostly	To a limited extent	No
*a. Does the project or programme **explicitly** define strategic influencing priorities and activities?*	✔			
b. Does the project contain an explicit and convincing policy influencing strategy?			✔	
c. Is there any evidence of the project appraisal system applied – for example in the revision of the project proposal following comments?	✔			
d. Does project documentation identify what is the added value of IUCN's	✔			

involvement in the project?				
e. Is there any evidence of joint planning of global programmes and regional initiatives?	**na**			
f. Is there any evidence of joint implementation of global programmes and regional initiatives?	**na**			
g. Do Component workplans clearly show how and if possible which members will be involved in the implementation of the programme?	**na**			

Purpose: To determine whether there is evidence from the project documentation of IUCN being more focused on strategic influencing, learning, innovation and knowledge management functions and has a more coherent project portfolio.

Yes: Evidence of the project portfolio clearly demonstrating the strategic influencing objectives and activities and added value of IUCN's involvement.

No: none of the above

Mostly - quite a lot of evidence although not as complete or detailed we needed to warrant a full yes.

To a limited extent – some evidence of the above albeit limited.

Explanation and documents assessed as evidence of this:

b. *Does the project or programme **explicitly** define strategic influencing priorities and activities?*
   a) The Alianzas Project was designed to have a strategic influence in the way Projects are implemented in Central America. The innovation brought by Alianzas was not regarding policy influencing but in attempting to shift from the traditional project approach of taking the local groups as simple beneficiaries or subcontractors. The approach of Alianzas was to help local groups to organize and strengthen themselves in order to become able to take care of their local processes. In other words, the vision of Alianzas was to make a strategic shift from exogenous processes commanded by external organizations to endogenous development processes led by local consortia integrated by many local organizations of different nature.

b. *Does the project contain an explicit and convincing policy influencing strategy?*
   a) See 3.1 above.

c. *Is there any evidence of the project appraisal system applied – for example in the revision of the project proposal following comments?*
   a) Yes, Alianzas went through a long design process that started in late 1999. In this process different IUCN ORMA components were involved (members, members committees, regional programs, partners, funding agency NORAD, etc. Moreover, the completion of the so-called Baseline study in 2001 provided the base for a new round of more specific consultations with partners and stakeholders. Most of these inputs find their ways into the proposal.

d. *Does project documentation identify what is the added value of IUCN's involvement in the project?*
   a) Yes, there are specific sections in the Project document presenting the strategic value of IUCN in the process and the added value of its involvement. Moreover, the analysis includes not only the value of IUCN in general but also those of its specific Regional Thematic Programs (as the current Units were named at that time).

e. *Is there any evidence of joint planning of global programmes and regional initiatives?*
   a) DOES NOT APPLY. Alianzas is a Regional initiative. As such, the different ORMA Units and IUCN regional components (members and partners) were involved in the planning (see c) above in this section)

f. *Is there any evidence of joint implementation of global programmes and regional initiatives?*
   a) DOES NOT APPLY. Alianzas is a Regional initiative that is not thematic. Therefore it is very complicated to think about the involvement of Global Programs. Regional Thematic Programs were involved in the implementation of many activities during Phase 1, especially during the first years

g. *Do Component workplans clearly show how and if possible which members will be involved in the*

implementation of the programme?
    a)   DOES NOT APPLY. Alianzas is not a Component program. Regarding members engagement in Alianzas see 3.2.b above.

OVERALL ASSESSMENT: YES

There is evidence that Alianzas had a purpose of influencing strategically the IUCN portfolio by changing the approach of field projects. How successful was in achieving this purpose exceeds the reach of this analysis, but there is evidence about stronger emphasis on local ownership by all ORMA Projects; what is not possible is to define to what extent this is a result of the Alianzas experience.

Follow-up at interviews
NA

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20. Other PM&E Issues to be tested? (From Review of IUCN PM&E Docs)

20.1 Application of IUCN's Results Based Management Approach	Yes	Mostly	To a limited extent	No
kk. Is there evidence that project evaluations are driven by donor preferences rather than those of IUCN?				✔
ll. Is there evidence that project evaluations do not always meet the needs of IUCN in terms of assessing IUCN's influence over policy, behaviour and governance?				✔
mm. Are evaluations conducted at regular intervals – for example mid-term and final?	✔			
nn. Is the system of project management set out in the project documentation adequate?	✔			
oo. Is the monitoring system based on self-reporting?	✔			
pp. Does the monitoring system also include verified reporting?			✔	
qq. Is there a proper classification of activities and results?				
rr. Is there evidence that monitoring results feed into learning and adaptive management?	✔			
ss. Was a management response prepared in response to addressing evaluation report recommendations?	✔			
	✔			

Purpose: To determine progress in the implementation of IUCN's results based management system (Programme Cycle Management Unit Paper March 2011, "Results Based Management at IUCN: Planning Monitoring and Evaluation").

Yes: Evidence that implementation of IUCN's results based management system is progressing based on improved monitoring systems incorporating more independently verified data, project evaluations are more consistent and can provide evidence to feed into IUCN's results chain and project management standards have improved.

No: none of the above

Mostly – quite a lot of evidence of the above.

To a limited extent: some but limited evidence of the above.

Explanation and documents assessed as evidence of this:

j.   *Is there evidence that project evaluations are driven by donor preferences rather than those of IUCN?*
    a)   There is no evidence that the Alianzas progress was driven by donors. In fact, this Project began as a framework agreement between NORAD and ORMA. As such, it included aspects of interest to both partners. In the Project document (Phase 1) there is a specific section titled Compatibility with Norway policies, but the design and proposal was completely developed by IUCN ORMA.

k. *Is there evidence that project evaluations do not always meet the needs of IUCN in terms of assessing IUCN's influence over policy, behaviour and governance?*
  a) There is no evidence that projects evaluation were guided by anything different than IUCN needs. There were evaluations whose quality, according to some experts, were below the standard, as the Final Evaluation of Alianzas Phase 1, but this does not imply that they were guided by other interests.

l. *Are evaluations conducted at regular intervals – for example mid-term and final?*
  a) Yes. In the case of Alianzas there were mid-term and final evaluations for Phase 1 and a final evaluation is planned for Phase 2. In the case of Phase 2 there was not intermediate evaluation because it was short (2 years)

m. *Is the system of project management set out in the project documentation adequate?*
  a) The Phase 1 Project document explains in detail the Project management structure, including the Steering Committee, the IUCN-NORAD annual meetings, the Project Coordination unit and the consortia organization. It explains the relationship between these different structures and their relationships, their composition and basic functions.

n. *Is the monitoring system based on self-reporting?*
  a) Yes, the different consortia reported to the Project coordination about their activities and achievements. The Project Coordination aggregated this information and added its own self-monitoring results and prepared the Project report that was sent to the Steering Committee and the IUCN/NORAD annual meeting.

o. *Does the monitoring system also include verified reporting?*
  a) Not formally. There were regular visits from the project staff to the field and verification was one of the purposes of these visits, but the formal process described in the Project document does not include them.

p. *Is there a proper classification of activities and results?*
  a) Yes. Activities are well classified as leading to outputs all implemented by the Project. Results are defined in terms of changes in the practices, attitudes or ways of working of people and organizations different than the project. Annual workplans were developed based on project activities and outputs, while achievement of results was monitored separately.

q. *Is there evidence that monitoring results feed into learning and adaptive management?*
  a) Yes. See 2.1.d above.

r. *Was a management response prepared in response to addressing evaluation report recommendations?*
  a) Yes, both mid-term and final evaluation of Phase 1 led to the preparation of a management response, including an action plan to put them in practice. There is also at least one document from 2008 tracking the progress on the implementation of the actions based on the recommendations of the mid-term evaluation of 2006.

OVERALL ASSESSMENT: YES

 The Alianzas Project was implemented based on a results-based approach built on a reasonably good Project design and the use of the logframe instrument and adequate indicators. This experience pre-dates the implementation of the results-based system throughout the Union, most probably due to the fact that ORMA was one of the Pilot Regions for the implementation of the IUCN M&E Initiative in the late 90s.

Annex 11   Regional and Country Visit Project Analysis

Ghana

Allanblackia oil seed

Documents:
   a) Project document Allanblackia: standard setting and sustainable supply chain management January 2005
   b) Project document Allanblackia Phase II (n.d.)

	Review questions/issues	Findings and references
	Relevance: It should contain an accurate description of the problem in hand and explain why the entities/inputs are a good fit	a) Good overview of opportunity in context of MDGs; Bonn Guidelines on CBD; coherence with SECO CAP. (p5-6) b) Logical follow on from the first project but no explicit reference back to indicators of performance from Phase I
	Clarity: It should be understandable by all key operators in the organisation. In practice this means short and simple. Clear time-bound targets and milestones that can be independently verified are essential	a) Project document is an expanded narrative based on the logframe. Activities not clearly allocated to the partners. (p13-14) b) Similar document based on logframe structure – well presented. Much less attention given to what IUCN brings and why it should have the lead implementation role
	Coherence: The suggested activities should fit logically with the desired outcome or outcomes	
	Realism: The plan should be attainable given knowledge of the limitations of the inputs	
	Assumptions and risks. These should be explicit and ideally testable if failure is to be avoided	a) Reasonable presentation in section 11, p16
	Evidence: Evidence (Justification) should be given as why the whole intervention, a particular path or	Little or no justification for IUCN's lead role

	partner is better than an alternative. This includes such terms as synergy, comparative advantage (value proposition).	
	Responsibilities. The level of contribution of the organisation or any sub-entity should be clear. (How the plan/strategy purpose contributes to an overall objective or goal)	a) Clear responsibilities (p8-9); but not at level of activities (p13-14)
	Clear objectives and measurable indicators. Both in the strategy statements and in subsequent programmes and projects	a) Development objective: to contribute to the sustainable development and trade of a new forest-based commodity that can help national economic development, improve livelihoods of poor rural communities and foster sustainable tropical forest management in Ghana. Indicators: By 2015 the rural population in targeted villages of Ghana's Allanblackia endemic area has benefitted from an income increase of 20% while the forest degradation has slowed down by 20% Specific objective: to provide instruments that will ensure sustainable harvesting of Allanblackia as well as equitable sharing of benefits among the stakeholders Indicators: Between 2005 and 2007, 4500 tons of Allanblackia is collected yearly following the sustainability guidelines and the project's target communities in Ghana benefit a total of 250,000 – 500,000 dollars annually from this activity. (Note is made of the need for socioeconomic data by gender p11) b) Development Objective: (Nested under the Novella Africa PPP DO) Allanblackia improves livelihoods and landscapes in the Allanblackia enbdemic communities of Ghana Indicators: Average household income of AB farmers in the target communities increased by at least 10% by end 2012; A 30% increase of farmers in the AB target communities incorporating AB into their faring systems, improving the forest landscape, by end 2012. Specific objective: Allanblackia farmers have improved access to markets for sustainably produced Allanblackia improving their livelihoods and the landscapes (note: *poor construction with L&L repeated in the DO*)

		Indicator: 50mt of AB oil meeting the industry standard, is supplied to the main buyers by end 2012. Assessment: First phase indicators very ambitious – no idea how close performance came. DO better in Phase II. SO in Phase II messy, with a mixture of Op (access to markets) and higher level L&L as stated in the DO. DO indicator for landscape is circular on the DO itself (AB presence is an indicator of improved landscape – what happened to the baseline from Phase I?) SO indicator is a stretch – can IUCN and partners 'manage' to this Oc?
	Contribution to Organisational results areas	
	Better communication of important conservation messages (**Visibility**)	Small-scale, micro contribution by IUCN, yet has project management role
	Easier illustration of IUCNs programme contribution to conservation and sustainable development (**effectiveness**)	a) Good coverage as part of roles and responsibilities (p9 – actually called stakeholder analysis, which it isn't); project focus is on establishing a sustainable supply chain; biodioversity issues are relatively small (best practice guidelines for wild harvest and small-scale production p15) and with little policy relevance. Quantified analysis of potential financial returns; but little assessment of contribution to biodiversity nor of feasibility of scale of uptake by farmers. b) Absence of quantitative and economic assessment of the performance of Phase I
	Better integration of the work of the secretariat and the commissions on the delivery of the shared results (**efficiency**)	a) No reference to Commissions b) Ditto
	Vastly improved mechanism for engaging members in delivering programme results (**engagement**)	a) Link to ICA (p6) b) Ditto
	Better integration and understanding of the complex interface between the environmental, economic and socio-cultural components of sustainable development (**integration**)	a) Seems to have a fair assessment of this complexity

	Clearer demonstration of how IUCNs strategy of knowledge empowerment and governance are joined and how these elements are used to influence effective biodiversity conservation at all levels while at the same time applying policy lessons to inform practice (**influence**)	a) Little relevance to 'influence' in this project b) Ditto

IUCN Ghana – Cadbury's Cocoa Partnership Environmental Strategy (CCP)

Interview with Yaa Amekudzi and Hope Wordu

Motivation for CCP – develop an environmental strategy that engages and involves both policy makers and cocoa growing communities – as part of a strategy to improve livelihoods and ensure cocoa production in Ghana is environmentally sustainable.

Engaged IUCN because of their reputation for multi-stakeholder dialogues – CCP had seen IUCN work on AB which has been in the news. Reaction – IUCN involvement really been helpful in terms of multi-stakeholder engagement at the grassroots level – bringing different stakeholders together and facilitating engagement / interaction between them – local NGOs, community groups, Forestry Commission, Ghana Cocoa Board. IUCN played important role in identifying legal issues in terms of biodiversity and conservation – some trapping activities that the cocoa board was advocating for small scale cocoa growers to protect their crops are illegal.

CONCLUSION - IUCN role in CCP environmental strategy has to date been relatively small and relates primarily to convening different actors. For example, no scope for IUCN to use the strategy to influence other private sector organisations in Ghana or to influence similar cocoa producers outside Ghana. IUCN does not yet have a role in operationalizing the env. strategy in phase 2. Role of IUCN simply project-based inputs according to specific set of TORs.

Key follow up questions:

- Will CCP use IUCN for a wider role?

- Will the CCP engage IUCN in other cocoa producing countries where it operates?

Background to CCP – IUCN project engagement

July 2010 – March 2011   USD 38,734

IUCN PACO / IUCN Ghana / IUCN Forest Conservation Programme (FCP)

Chris Buss and 'Wale Adeleke

CCP – improve livelihoods of approx 1 million cocoa farmers in Ghana, India, Indonesia and the Caribbean. UNDP asked to dev. the environmental strategy for the partnership in Ghana. IUCN asked for additional inputs to build on its field and policy experience in Ghana.

Covers IUCN Business and Biodiversity and FCP Programmes – links between agricultural practices and forest landscape approaches. IUCN works at nexus between biodiversity and agriculture – Greening the World Economy. IUCN niche – working together with communities, govt. agencies, NGOs and businesses.

CCP in Ghana – 2 phases:

Phase 1 – gather baseline data for environment strategy

Phase 2 – implement the strategy

Phase 1 – 3 broad activities

   - a baseline report on how to achieve best environmental practices in cocoa farming

   - dev. of an environmental curriculum with the Cocoa Research Institute of Ghana (CRIG) to support national extension programme and future farm-level certification

   - formulation of the environmental strategy for the CCP and phase 2 main components / roles

IUCN's particular value – understanding of field-level interventions and linking them to policy – systematically linking practice and policy. Supporting policy through Multi Stakeholder Processes.

Specific tasks:

1   Explore barriers that hinder sustainable forest management – linked to forest restoration and shade management

         Articulate the tenure and rights issues surrounding tree ownership

         Explore the benefits of multi-use farming systems

2   Liaise with existing partners in the forest sector – Ministry of Lands and Natural Resources, Forestry Commission and Forestry Research Institute of Ghana (IUCN Members) to develop a portfolio of key stakeholders

3   Inputs to support UNDP to support CRIG farming curriculum

4   Develop national vision for the CCP environmental strategy involving the participation of key cocoa and environmental sector actors

5   Produce concise reports on the above

6   Facilitate links between UNDP team, FCP HQ team, and Cadbury's global teams

Ghana

Pro-poor REDD+

Documents:
c) IUCN's pro-poor REDD+ web page -
    http://www.iucn.org/about/work/programmes/forest/fp_our_work/fp_our_work_thematic/redd/iucns_work_on_redd_plus_/redd_pro_poor_ghana_redd/
d) Pro –Poor REDD Full Project Proposal submitted to DANIDA

	Review questions/issues	Findings and references
	Summary	Towards pro- poor REDD: Building synergies between forest governance, equitable benefit sharing and reduced emissions through sustainable forest management in five tropical countries - Ghana, Liberia, Cameroon, Indonesia and Guatemala
	Relevance: It should contain an accurate description of the problem in hand and explain why the entities/inputs are a good fit	• Strong presentation and analysis of global REDD+ issues and the need to involve poor communities themselves in the national discussions on REDD. • "The proposed action in this concept note aims to support such learning in five tropical forest countries with established on-going forest sector reform processes and with relatively high levels of rural poverty." Project Proposal p. 8
	Clarity: It should be understandable by all key operators in the organisation. In practice this means short and simple. Clear time-bound targets and milestones that can be independently verified are essential	• Simple summary containing main objective, geographic scope, target groups, main beneficiaries, estimated results, and main activities. • No specific milestones mentioned
	Coherence: The suggested activities should fit logically with the desired outcome or outcomes	• Logical coherence of activities according to components each with a defined result.
	Realism: The plan should be attainable given knowledge of the limitations of the inputs	• Section on experience with similar actions demonstrates programme is based on past experience •

	Assumptions and risks. These should be explicit and ideally testable if failure is to be avoided	• Very short section identifying 6 risks across all 5 countries together with 6 generic mitigation measures.

	Evidence: Evidence (Justification) should be given as why the whole intervention, a particular path or partner is better than an alternative. This includes such terms as synergy, comparative advantage (value proposition).	• 3 sets of activities or components clearly detailed:
		  o Synergies between REDD pro poor mechanisms and good forest governance;
		  o Connections between the local and the national level for REDD;
		  o Knowledge and communication for building and implementing REDD.
		• Alternative options / pathways not discussed

	Responsibilities. The level of contribution of the organisation or any sub-entity should be clear. (How the plan/strategy purpose contributes to an overall objective or goal)	• Role of IUCN across the Union particularly the Secretariat (HQ, Rgional Offices, and Country Offices) is clearly set out under the Methodology section of the Project Proposal p. 38: • The model proposed for implementing the Action has proved to be extremely efficient in IUCN's previous work. It includes a global coordination unit collaborating closely with national project coordinators; administration under, this case, the responsibility of the IUCN Forest Conservation Programme FCP (HQ); while technical, political and communicational backstopping provided by two sources: i) the FCP team and ii) programs, areas and constituents of the Union.
	Clear objectives and measurable indicators. Both in the strategy statements and in subsequent programmes and projects	• Broad set of activities defined by results area • Overall purpose and objective defined but no measurable indicators defined and activities not time-bound • No evidence of logframe, theory of change, or results-based planning
	Contribution to Organisational results areas	•
	Better communication of important conservation messages (**Visibility**)	• Some detail on potential synergies with similar initiatives both within IUCN and outside- Potential synergies with planned or existing initiatives -
	Easier illustration of IUCNs programme contribution to conservation and sustainable development (**effectiveness**)	• REDD Preparatory Work in Ghana and IUCN's Role detailed on Project Proposal p. 14 • This details how IUCN has worked on REDD issues with IUCN member – Ghana Forestry Commission

	Better integration of the work of the secretariat and the commissions on the delivery of the shared results (**efficiency**)	• •
	Vastly improved mechanism for engaging members in delivering programme results (**engagement**)	• Specific mention of the Forest Conservation Programme (FCP) and their efforts to work with and engage Members and Commission Members with the Union network – Project proposal p. 40 • Members asked to participate in consultation but not specifically mentioned that they will be engaged in implementation - 'Members in the five countries will be invited to participate and transparent mechanisms will be set in place for this aim.' • "Also, experts of different commission such as the Ecosystem Management CEM, Environmental Law CEL and of Environmental and Economic Science and Policy CEESP had supported the development of specific studies and analysis required by the projects or programs." •
	Better integration and understanding of the complex interface between the environmental, economic and socio-cultural components of sustainable development (**integration**)	•
	Clearer demonstration of how IUCNs strategy of knowledge empowerment and governance are joined and how these elements are used to influence effective biodiversity conservation at all levels while at the same time applying policy lessons to inform practice (**influence**)	• Some indications of IUCN influencing in relation to UNFCCC REDD+ agenda – "The Forestry Commission of Ghana and IUCN jointly organized an awareness raising workshop on REDD in Accra on the 14th and 15th of August, 2008. This workshop was timed to coincidewith UNFCCC expert working group meetings held from 21st to the 28th of August in Accra.' – Project Proposal p. 14

Kenya ESARO

The Pangani River Basin Management Project (Tanzania)

Documents:
   e) Project Briefs
   f) Telephone Interview with Hamza Sadiki project partner and board member Tanzania

Review questions/issues	Findings and references
Summary	Pangani River Basin Management Project (PRBMP) is generating technical information and developing participatory forums to strengthen Integrated Water Resources Management in the Pangani Basin. This includes mainstreaming climate change, supporting the equitable provision and wise governance of freshwater for livelihoods and environment for current and future generations. PRBMP has four major components: Environmental Flow Assessment, Community Participation in Water Resources Management, Climate Change and Groundwater assessment (to support the Integrated Water Resource Management and Development Plan). The project is implemented by Pangani Basin Water Board (PBWB) with technical assistance from the International Union for Conservation of Nature (IUCN), The Netherlands Development Organisation (SNV) and the local NGO PAMOJA. PRBMP is co-funded by the Government of Tanzania, IUCN Water and Nature Initiative (WANI), the European Commission (EU) through a grant from the EU-ACP Water Facility and the Global Environment Facility (GEF) through UNDP. The intervention logic was relevance, clear and coherent. Water governance is a key issue in Tanzania and climate change is already having an effect. No real benefit of IUCN involvement compared to other NGOs familiar with water governance in the context of climate change. Some good innovation however on the screening of key risks Good involvement of secretariat and members but Commission member involvement less obvious The project has been influential
1. **Relevance**: It should contain an accurate description of the problem in hand and explain why the entities/inputs are a good fit	Relevant to local development needs and based on key water policy and acts Very relevant to knowledge building on the links between climate change river basin management

		livelihood and biodiversity
2.	**Clarity**: It should be understandable by all key operators in the organisation. In practice this means short and simple. Clear time-bound targets and milestones that can be independently verified are essential	Project document is an expanded narrative based on a logframe. Activities clearly allocated to the partners. Clear problem analysis Clear and strong support for capacity building of a water management board
3.	**Coherence**: The suggested activities should fit logically with the desired outcome or outcomes	Coherent intervention logic consisting of a capacity building approach at all relevant technical and administrative levels
4.	**Realism**: The plan should be attainable given knowledge of the limitations of the inputs	Realistic in terms of technology transfer but a less realistic timescale in terms of governance reform
5.	**Assumptions and risks**. These should be explicit and ideally testable if failure is to be avoided	Poor quality of assumption testing but significant risks were identified
6.	**Evidence**: Evidence (Justification) should be given as why the whole intervention, a particular path or partner is better than an alternative. This includes such terms as synergy, comparative advantage (value proposition).	Little or no justification for IUCN's lead role. Could be done by any NGO or consultancy company in the natural resources field familiar with the DFID rural livelihood approach with its central tool of vulnerability analysis.
7.	**Latest thinking**. Ideally any plan or strategy should embrace the latest thinking and realisation of knowledge/methodological gaps. This is especially the case if it simplifies understanding, galvanises action, and leads to collaboration by outsiders.	Not innovative apart from the use of a Community-Based Risk Screening Tool (CRiSTAL) for looking at climate change adaptation
8.	**Responsibilities**. The level of contribution of the organisation or any sub-entity should be clear. (How the plan/strategy purpose contributes to an overall objective or goal)	The project is implemented by Pangani Basin Water Board (PBWB) with technical assistance from the International Union for Conservation of Nature (IUCN). Clear responsibilities link the partners
9.	**Ownership**. The level at which entities within an organisation share the vision and feel part of the response	Good local ownership by technical and administrative officers
10.	**Clear objectives and measurable indicators**. Both in the strategy statements and in	Development objective: to develop participatory forums to strengthen integrated water resource management. PBWB has the legitimacy and technical competence to carry things forward

subsequent programmes and projects	
Contribution to Organisational results areas	
11. Greatly sharpened focus (**Clarity and realism**)	Could be more focussed in terms of key species and habitats. Brief is for an natural resources project and not a nature conservation endeavour. Term "mainstreaming climate change" very vague
12. Better communication of important conservation messages (**Visibility**)	IUCN, has major capacity building role
13. Easier illustration of IUCNs programme contribution to conservation and sustainable development (**effectiveness**)	Could provide relevant information to climate change results. Would have been more effective with better involvement of other poverty focused NGOs and the private sector
14. Better integration of the work of the secretariat and the commissions on the delivery of the shared results (**efficiency**)	Worked well with secretariat staff. Less clear links with Commission members
15. Vastly improved mechanism for engaging members in delivering programme results (**engagement**)	Worked well with selected members in Tanzania
16. Better integration and understanding of the complex interface between the environmental, economic and socio-cultural components of sustainable development (**integration**)	Seems to have a fair assessment of this complexity
17. Clearer demonstration of how IUCNs strategy of knowledge empowerment and governance are joined and how these elements are used to influence effective biodiversity conservation at all levels while at the same time applying policy lessons to inform practice (**influence**)	• Relevant to influence. IUCN helped to develop Act and Strategy • New model of water financing and Basin now more stable due to "union" of stakeholder

Thailand

The Livelihoods and Landscape Strategy (LLS) in Doi Mae Salong, Northern Thailand

Documents:

- Better forests, better water, better lives: The Livelihoods and Landscape Strategy (LLS) in Doi Mae Salong, Northern Thailand

- Forest Restoration : Case Studies from Mountain to the Sea

- Half year Progress Report on the Livelihoods and Landscape Strategy (LLS) in Doi

  Mae Salong, Northern Thailand (May-December 2010)

- Better forests, better water, better lives: The Livelihoods and Landscape Strategy in Asia

- Reward for Ecosystem Services and Strategic Environmental Assessment

	Review questions/issues	Findings and references
	Summary	- Relevance clarity coherence and realism are good. Monitoring and evaluation was weak but has improved slightly. Overall there is no clear evidence to indicate that recommendation number 6 of the external review is being implemented and there is no evidence to support an improvement in the M&E system. There is a need to set up articulate evaluation plans for the project in the project documentation and to work with the partners to ensure that project level M&E works in practice and that there is sharing of lessons and findings from the project visits across the project and more widely. - The evidence suggests that the recommendations from the 2007 External Review have not been taken on board in relation to the Doi Mae Salong documentation. The project documentation needs monitoring systems and templates based on the theory of change perspective. The evidence concerning evaluation of the project was limited, both in terms of number and type of evaluations. The coming evaluations could apply

		the theory of change perspective for the volume and quality of monitoring system.
	Relevance: It should contain an accurate description of the problem in hand and explain why the entities/inputs are a good fit	• The relevance is strong and contains new developments in forest restoration pioneered in Thailand. • The Livelihoods and Landscape Strategy (LLS) in Doi Mae Salong, Northern Thailand is a partnership based country initiative to promote investment in watershed ecosytems. The project is implemented between 2010-2013. The half year progress report states the desired 'need to reduce poverty of people in the area as well as to reforestation'. There is detailed discussion on the situation, explaining vulnerability in terms of natural and human causes as well as what is being done to manage the environment – multi-stakeholders approaches to sustainable management. There is also detailed discussion on the need for an intervention, including SWOT analysis of the area and shared interests and responsibilities for bringing about change. The vision is not clearly seen. The half year progress report of the project from May to December 2010 seen more concrete results. Overall the documentation does explain what type of change is needed and why
	Clarity: It should be understandable by all key operators in the organisation. In practice this means short and simple. Clear time-bound targets and milestones that can be independently verified are essential	• Clarity is good showing what is required is collaboration between the multi-stakeholders that are working on the various ethnic communities and development in Doi Mae Salong, in order to reduce poverty and work together to reforestation. The half year progress report document mentions how the novel approach adopted will bring about the desired change – by establishing a governmental and non-governmental organization platform of collaboration. However, the Livelihoods and Landscape Strategy (LLS) in Doi Mae Salong, Northern Thailand document and the half year progress report does include a section on threats and obstacles to implementation. A number of threats are defined in a half year progress report which are described as having the potential to have a low to medium impact on the project.
	Coherence: The suggested activities should fit logically with the desired outcome or outcomes	• Logical coherence of activities according to components each with a defined result.
	Realism: The plan should be attainable given knowledge of the limitations of the inputs	• Section on experience with similar actions demonstrates programme is based on past experience

	Assumptions and risks. These should be explicit and ideally testable if failure is to be avoided	• Risks are covered but the assumptions could be more operationally useful in the logical framework
	Evidence: Evidence (Justification) should be given as why the whole intervention, a particular path or partner is better than an alternative. This includes such terms as synergy, comparative advantage (value proposition).	• There is not strong evidence of the added value of IUCN involvement
	Responsibilities. The level of contribution of the organisation or any sub-entity should be clear. (How the plan/strategy purpose contributes to an overall objective or goal)	• Role of IUCN across the Union particularly the Secretariat (HQ, Rgional Offices, and Country Offices) is clearly set out. • Responsibilities are clear in the project and in relation to what happens after the project: 4 out of 5 IUCN members in Thailand shared their 6 best practices in a published book on "Forest Restoration: Case Studies from Mountain to the Sea" including the Mae Salong project, which the Royal Thai Army has been undertaking since 2007
	Clear objectives and measurable indicators. Both in the strategy statements and in subsequent programmes and projects	• Project M+E is rather poor but has improved slightly during implementation. • There is a lack of SMART indicators • Knowledge management and communication is mentioned in project monitoring committee but there is no clear indication in the document reviewed that information exchange, communications and knowledge management will be strengthened with initiatives such as the creation of a Knowledge Platform and that a knowledge management strategy linked to MLE frameworks would be developed
	Contribution to Organisational results areas	
	Better communication of important conservation messages (**Visibility**)	• There is evidence of potential synergies with similar initiatives both within IUCN and outside- Potential synergies with planned or existing initiatives -
	Easier illustration of IUCNs programme contribution to conservation and sustainable development (**effectiveness**)	• There is clear evidence that this project will contribute to major work on the role of forest restoration in REDD+
	Better integration of the work of the secretariat and the commissions on the delivery of the shared results (**efficiency**)	• There is room for improvement in terms of a more fuller involvement of commission members and members • Secretariat linkages were adequate

	Vastly improved mechanism for engaging members in delivering programme results (**engagement**)	- Formal mechanisms for member involvement are poor There is no monitoring template for the project which includes indicators related to partner contribution and involvement in project implementation. - The half year progress report however does clearly state on partner contribution and involvement in project implementation. - One problem is that local governmental officials are often transferred to a new office, therefore continuity of the project depends on how well the project coordinator can cope with a new official.
	Better integration and understanding of the complex interface between the environmental, economic and socio-cultural components of sustainable development (**integration**)	Good integration of environmental and conservation with links to a wide range of stakeholder
	Clearer demonstration of how IUCNs strategy of knowledge empowerment and governance are joined and how these elements are used to influence effective biodiversity conservation at all levels while at the same time applying policy lessons to inform practice (**influence**)	Some indications of IUCN influencing in relation to UNFCCC REDD+ agenda

India

Ecosystems for Life

Documents:
   a) Project document
   b) Interviews with India office staff

	Review questions/issues	Findings and references
	Summary	• The design of the project is based on the concept of facilitating dialogue between various research institutions, NGOs, grass roots organizations and individuals of both the countries. The goal of the project is improved, integrated management of trans-boundary water regimes in the South Asian Region. The purpose is establishing multi-stakeholder endorsed mechanisms for integrated management of trans-boundary water regimes with a view to enhance food, livelihood and water security in the South Asian Region. The outcomes of the dialogue will be better use of knowledge generated by scientific research and greater understanding of common issues. LFA has been developed and revised, outlines goal, purpose, outcomes in the context of risks and assumptions and laying down verifiable indicators and their means of verification. The LFA goes down to the level of activities and means indicating clear milestones of performance. • The link with two governments shows the potential for strategic influencing at the highest levels . • The intervention logic is clear realistic and coherent • Involvement with the secretariat and the main programs is good. Commission links are less clear. • The project has very high impact potential

	Relevance: It should contain an accurate description of the problem in hand and explain why the entities/inputs are a good fit	• Sustainable management of water regimes in river basins that cross natural boundaries is a major issue that has focus of importance, in view of the recurrent droughts and floods in the South Asia region. • While intergovernmental cooperation is increasing, dialogue among civil society of countries sharing international rivers will help in developing knowledge base and strengthen understanding of issues and contribute to better management of natural resources. • India and Bangladesh share three major rivers and cooperation on trans-boundary waters is essential for the well being of millions of citizens of the two countries. In this context, this four and a half year project funded by the Netherlands government is very relevant
	Clarity: It should be understandable by all key operators in the organisation. In practice this means short and simple. Clear time-bound targets and milestones that can be independently verified are essential	• The statement of goal, purposes and activities is fairly clear and understandable to the ordinary reader. • Clarity could have been better served by use of a little simpler language.
	Coherence: The suggested activities should fit logically with the desired outcome or outcomes	• On this aspect the project design scores high as the suggested activities fit logically with the desired outcomes. For example, the outcome "shared vision for addressing food, livelihood and water security issues developed" carries along with it two activities, namely, (a) constituting multi-stakeholder forums and groups in each country and (b) holding at least two in-country meetings on identified themes. • This makes activity to output and output to outcome monitoring easy.
	Realism: The plan should be attainable given knowledge of the limitations of the inputs	• The plan is realistic given the favourable bilateral relations and strong intellectual exchanges already existing between the two project countries at the current moment.
	Assumptions and risks. These should be explicit and ideally testable if failure is to be avoided	• The LFA makes a number of realistic assumptions about the political climate, acceptability of policy recommendations, research capabilities accessibility of information and participation of civil society organizations etc, which make the success of the plan becoming conditional to the assumptions remain true in the future. • The LFA can be revised in the future when some of the critical assumptions change.
	Evidence: Evidence (Justification) should be given as why the whole intervention, a particular path or	• The LFA as such does not analyse the potential alternatives to the approach and activities, but the project document as a whole gives sufficient justification for the suggested plan as trans-

	partner is better than an alternative. This includes such terms as synergy, comparative advantage (value proposition).	boundary water issues are crucial to the development of livelihood in the region.
	Responsibilities. The level of contribution of the organisation or any sub-entity should be clear. (How the plan/strategy purpose contributes to an overall objective or goal)	• Role of IUCN across the Union particularly the Secretariat (HQ, Regional Offices, and Country Offices) is clearly set out in the project document
	Clear objectives and measurable indicators. Both in the strategy statements and in subsequent programmes and projects	• The project adopts the three tier approach of research (research studies), dialogue (consultation meetings to discuss the research findings) and knowledge management (processing and packaging of relevant information as knowledge products and disseminating the information). • The research focus will centre round the following major themes: Food security, water productivity and poverty in the region Impacts of climate change on the region Inland navigation in the region Environmental security in the region Biodiversity Conservation • The approach is linked to a logical framework with clear indicators
	Contribution to Organisational results areas	
	Better communication of important conservation messages (**Visibility**)	• The dialogue component of the project offers an improved platform for bilateral talks on cons The aim is to develop a long term relationship between various stakeholder groups within the country and between the countries, for developing a common understanding on trans-boundary water management, and the impacts of climate change, natural disasters (including floods, cyclones and droughts), international navigation routes and poverty and food security both in India and in Bangladesh and to generate options on how to develop and manage the trans-boundary water regimes for mutual benefits.
	Easier illustration of IUCNs programme contribution to	• The project has good links with the programme in the area of climate change and rural

	conservation and sustainable development (**effectiveness**)	livelihood
	Better integration of the work of the secretariat and the commissions on the delivery of the shared results (**efficiency**)	• The project has good secretariat and member involvement • Links to Commissions and their members are less clear
	Vastly improved mechanism for engaging members in delivering programme results (**engagement**)	• No evidence of new approaches to member involvment.
	Better integration and understanding of the complex interface between the environmental, economic and socio-cultural components of sustainable development (**integration**)	• Very good example of integration at the highest level. • If the project initiated dialogue among civil society of the two countries helps the governments to evolve an efficient mechanism for trans-boundary water management, it will establish models for replication in other contexts and improve the livelihood of people and their eco systems. Possible cooperation areas could be India-Nepal, India-Pakistan, Nepal –China-India etc. Having great potential impacts on the livelihood of millions of people in the two countries, by sharply focusing on water related issues, the project will indirectly help the conservation agenda of IUCN. This is because water issues cannot be separated from livelihood issues and the latter from conservation issues
	Clearer demonstration of how IUCNs strategy of knowledge empowerment and governance are joined and how these elements are used to influence effective biodiversity conservation at all levels while at the same time applying policy lessons to inform practice (**influence**)	• Some indications of IUCN influencing in relation to UNFCCC REDD+ agenda and current global interest on payment for ecosystem services

Mexico

Cahoacan Project – River basin management to reduce vulnerability to disasters caused by water-related events

Documents:

Project document: Management of the Cahoacan river basin, Chiapas, Mexico, through conservation and restoration of micro-watersheds to prevent disasters caused by high intensity rainfalls. April 2007

	Review questions/issues	Findings and references
	Relevance: It should contain an accurate description of the problem in hand and explain why the entities/inputs are a good fit	c) This Project arose from the need to redirect the efforts of a previous one originated through the WANI 1 process whose field actions were simply erased by the impact of Tropical Storm Stan in 2005 that was a major disaster in Guatemala and Mexico. As a consequence the new project was less focused on water resources management and more focused on prevention of rainfall-related disasters. d) The analysed Cahoacan Project is a logical follow on from the first project but the project document does not include explicit sections on situation analysis or diagnosis because the memories of the effects of Stan were too fresh. e) The fitness of the Project and IUCN as its implementing agency are simply that they were the only ones active in this river basin on watershed management issues, and the experience previous to the Stan storm showed that they were doing a good job but with just a small component on disaster-prevention.
	Clarity: It should be understandable by all key operators in the organisation. In practice this means short and simple. Clear time-bound targets and milestones that can be independently verified are essential	c) The Project document is an expanded narrative based on its Objectives and results. It has a good Monitoring and evaluation system with clear results and quantitative goals clearly identified and related to the objectives (pp 13-17). There is no logframe in the Project document. d) Targets and milestones can easily be independently verified. e) Beneficiaries and partners are well identified. The presentation of the results was made in a way that allowed flexibility (e.g. one indicator talks about achieving something in 4 of the 5 Municipalities of the watershed, but it does not indicate which ones)

	Coherence: The suggested activities should fit logically with the desired outcome or outcomes	a) There is a good fit between activities and outcomes. They are organized by Result and they are presented in a generic way in order to provide guidance to the much more detailed annual workplans.
	Realism: The plan should be attainable given knowledge of the limitations of the inputs	a) It is realistic. In fact, at the end of the Project in mid-2011 all indicators and outcomes were achieved or surpassed.
	Assumptions and risks. These should be explicit and ideally testable if failure is to be avoided	b) There is neither a risk analysis in the project document nor assumptions in the M&E System. According to the IUCN staff the donor´s format did not require them.
	Evidence: Evidence (Justification) should be given as why the whole intervention, a particular path or partner is better than an alternative. This includes such terms as synergy, comparative advantage (value proposition).	a) Again, there is not such analysis in the Project document. The donor´s format did not require it.
	Responsibilities. The level of contribution of the organisation or any sub-entity should be clear. (How the plan/strategy purpose contributes to an overall objective or goal)	b) There is good table presenting the contributions of the different partners and what is going to be the use or destination of these contributions (p8). There is not something similar at the activity level (p18-22)
	Clear objectives and measurable indicators. Both in the strategy statements and in subsequent programmes and projects	a) Objectives and indicators are well identified in the main text (pp 3-4) and in the Monitoring and evaluation system in Annex 2 (pp 12-17) including results, indicators and performance scales. b) There is not a Project logframe included in the document. c) **The Objectives, Indicators and Performance scales included in the M&E system are shown in a table at the end of this template.**

	Contribution to Organisational results areas	
	Better communication of important conservation messages (**Visibility**)	a) It was well done but only at two levels: local and international. b) At local level (communities and Municipalities) the project relied on events and meetings of the different organizational bodies (Watershed Council, Biosphere Reserve Committee, etc.) and events (workshops, conferences) c) At the State (Chiapas) and national levels communications were scarce and limited to participation in a few events. d) At the international level, the results, experiences and lessons of this Projects were disseminated, along with those from other IUCN ORMA Water Projects, throughout Latin America through Confluencias, a digital network of 3,000 practitioners from Latin America, the Caribbean and other Spanish-speaking countries; through this network many videos developed by the Project and documents (from the project and other WANI regional and global experiences) were disseminated. Confluencias operated through a Website (Webgate) and a Newsletter distributed by e-mail every two weeks; in addition to news some training materials and literature on water management was also disseminated. The Confluencias website can be visited at: www.confluenciasagua.net
	Easier illustration of IUCNs programme contribution to conservation and sustainable development (**effectiveness**)	c) This Project was also based on the Ecosystem approach adopted by CBD (Convention on Biological Diversity), as all IUCN ORMA Water Projects. As such, it provides a good illustration about how to put that approach in practice. d) An interesting feature of this Project was that one of its key strategies revolved around the proper articulation of the investments of the different Governmental agencies and organizations (Municipal, State and Federal) in a country like Mexico where Governmental institutions make significant investments in the field. e) This particular role, that was possible because of the particular condition of the Mexico as a country and its Government, may provide some light about a key issue for the entire IUCN: the definition of its role in large, relatively wealthy (mid-income) countries such as Mexico, Brasil, Argentina, China, India, Indonesia, Eastern Europe,

		etc. (SEE FOOTNOTE AT THE END OF THE FORMAT)
	Better integration of the work of the secretariat and the commissions on the delivery of the shared results (**efficiency**)	c) No reference to Commissions and not involvement of them. d) There were joint activities with an IUCN Global Unit: the Environmental Law Center in Bonn on transboundary water governance, jointly with the Tacana Project in Guatemala.
	Vastly improved mechanism for engaging members in delivering programme results (**engagement**)	c) There is not a visible and explicit mechanism to engage members in the planning document. d) In practice, the Project engaged the single IUCN Member in the area (Soconusco Natural History Foundation) in its area of expertise (project administration)
	Better integration and understanding of the complex interface between the environmental, economic and socio-cultural components of sustainable development (**integration**)	b) This Project was successful in understanding and integrating the different sectors and organizations active in the territory (Cahoacan river basin) and its different interacting environmental, social, economic and institutional issues. c) This integration was achieved through the organization of multi-stakeholder platforms (Watershed Council, Environmental Network and their activities on waste management, the organic farmers association and their effirts to access markets, the Tacana Biosphere Reserve Committee and their different activities to manage the buffer zone of the Reserve, etc) to address different issues or the mobilization of existing ones. d) In all cases the project deliberately did not look for highly visible leading roles and, instead, focused on the strengthening mechanisms, facilitation and support roles that mobilized these processes and kept them working.
	Clearer demonstration of how IUCNs strategy of knowledge empowerment and governance are joined and how these elements are used to influence effective biodiversity conservation at all levels while at the same time applying policy lessons to inform practice (**influence**)	c) The project was quite successful in achieving results at the local level. d) It did not have significant impacts on policies (with the exception of a couple of Municipalities) nor in training activities. e) It is necessary to remind that this Project had an implementation period much shorter than its neighbour one in Tacana, Guatemala; this time constraint is probably one of the key reasons that explain less significant achievements in these aspects.

THE ROLE OF THE CAHOACAN PROJECT

This is an important aspect and experience almost unique to this project that cannot be considered as a traditional implementing project in which the allocated resources are used by the Project and its partners to do things.

The project was conceived and implemented around a strategy centered in organizing and coordinating the investment of the governmental organizations in the river basin territory. These organizations were investing in this area for years in diverse aspects specific of their sector, but the dispersion of the investment precluded the achievement of visible impacts.

The Project helped this articulation process by promoting the work in participatory platforms and local networks, by providing basic funds to be matched by the other organizations and by providing technical expertise when necessary.

This focus of the project as a convener and facilitator able to offer neutral participatory platforms to address different issues offers a useful starting point for a reflection about the IUCN role in middle-income countries, not eligible for development cooperation support and where these IUCN characteristics are requested. IUCN has a long and positive history of projects and activities in poor countries supported by the international cooperation, but its record in these other countries is less obvious and positive. Therefore, experiences like these ones from the Cahoacan Project may contribute to a better definition of the IUCN niche and role in these countries.

Guatemala

Tacana Project – Integrated water management

Documents:
    c)   Project document. "Water production in harmony with nature and culture in the Suchiate and Coatan river basins, San Marcos, Guatemala". May 2006

	Review questions/issues	Findings and references
	Relevance: It should contain an accurate description of the problem in hand and explain why the entities/inputs are a good fit	f) The project document has a good explanation of the situation that led to the Project (land degradation and the devastating impacts of the Stan tropical storm in 2005) (see pp 4-8)
	Clarity: It should be understandable by all key operators in the organisation. In practice this means short and simple. Clear time-bound targets and milestones that can be independently verified are essential	f) The Project document is short, clear, well-structured and well written. g) It has 25 pages plus annexes (another 25 pages) h) It includes Objectives and indicators and general activities. Indicators are reasonably good, easy to measure when quantitative.
	Coherence: The suggested activities should fit logically with the desired outcome or outcomes	a) The general activities fit well with Objectives and indicators. b) Detailed activities and intermediate products are not included in the Project document. They were left to the Annual Workplans that guided Project implementation; these Annual workplans were developed based on the Project logframe
	Realism: The plan should be attainable given knowledge of the limitations of the inputs	a) The plan proved to be reasonable; the Project is closing next September 2011 and the recent Final External Evaluation concluded that the Project fulfilled its objectives and indicators in a satisfactory way and that, in some cases, they exceeded them.
	Assumptions and risks. These should be explicit and ideally testable if failure is to be avoided	c) Good presentation in main text (pp 19-21) and in the logframe (Annex 9, pp 45-50)
	Evidence: Evidence (Justification) should be given as why the whole intervention, a particular path or partner is better than an alternative. This includes such	a) There is not a section as this in the Project document. b) It is necessary to remind that this Project is the continuation of a well established and well known WANI Project that began in 2003; therefore it is possible that these

	terms as synergy, comparative advantage (value proposition).	aspects were taken as granted due to the past experience.

	Responsibilities. The level of contribution of the organisation or any sub-entity should be clear. (How the plan/strategy purpose contributes to an overall objective or goal)	c) Key partners and their responsibilities are well identified in Annex 7 (pp 41-42)
	Clear objectives and measurable indicators. Both in the strategy statements and in subsequent programmes and projects	d) Objectives and indicators are well identified in the main text (pp 8-10) and in the Project logframe in Annex 9 (pp 45-50). e) **The logframe Objectives and Indicators are shown in a table at the end of this template.**
	Contribution to Organisational results areas	
	Better communication of important conservation messages (**Visibility**)	e) It was well done and at several levels. At local level (community to Department) the project relied on events and meetings of the different organizational bodies. f) At the national level there is a long list of press-releases that were taken by different media (newspapers, national TV) to disseminate project findings, results and approaches, as well as conferences, participation in national events, etc. g) At the regional level, these project results, experiences and lessons were disseminated throughout Latin America through Confluencias, a digital network of 3,000 practitioners from Latin America, the Caribbean and other Spanish-speaking countries; through this network many videos developed by the Project and documents (from the project and other WANI regional and global experiences) were disseminated. Confluencias operated through a Website (Webgate) and a Newsletter distributed by e-mail every two weeks; in addition to news some training materials and literature on water management was also disseminated. The Confluencias website can be visited at: www.confluenciasagua.net
	Easier illustration of IUCNs programme contribution to conservation and sustainable development	f) The Project was based on the Ecosystem approach adopted by CBD (Convention on Biological Diversity). As such, it provides a good illustration about how to put that

	(**effectiveness**)	approach in practice. g) In this particular case, the backbone that articulated the different activities and processes was water management with its different aspects (forest conservation and restoration to restore or maintain the water cycle; different practices for pollution control; soil conservation to reduce and prevent soil erosion, different local governance bodies and mechanisms, policy influencing, attraction of Governmental and private investment, etc.) h) There is little quantitative assessment neither of contribution to biodiversity conservation nor of economic assessment. There is a remarkable effort to introduce participatory evaluation of the project in some pilot micro-basins
	Better integration of the work of the secretariat and the commissions on the delivery of the shared results (**efficiency**)	e) No reference to Commissions f) Good integration with other Secretariat Projects (LLS) and Global Units (Environmental Law Centre, Bonn)
	Vastly improved mechanism for engaging members in delivering programme results (**engagement**)	e) There is not a visible and explicit mechanism to engage members in the planning document. f) In practice, the Project engaged some members to do consulting work in the areas of expertise of those members (e.g. water sanitation, environmental law, etc.)
	Better integration and understanding of the complex interface between the environmental, economic and socio-cultural components of sustainable development (**integration**)	e) Seems to have a good assessment of this complexity, considering the achievement of relevant results at the local level (actual work of micro-basin/watershed committees), Municipality level (adoption of Municipality regionalization by micro-basins), Departmental level (the Inter-institutional coordination mechanism –CORNASAM- and its activities) and national level (participation on the National Micro-basin Commission) and the adoption by this Commission of the Micro-basin approach to planning and implementation developed by the Project through its field experiences.
	Clearer demonstration of how IUCNs strategy of knowledge empowerment and governance are joined and how these elements are used to influence effective biodiversity conservation at all levels while at the same time applying policy lessons to inform practice (**influence**)	f) See previous point above, as it shows the multi-level approach, and results achieved by the Project g) In terms of informing practice, the agreement with the local Universities to train graduates and professors in the project approaches and to incorporate these elements in the teaching curricula, is also something to be highlighted.

Annex 12   ORMA Clustering Approach

CLUSTERING, A STRATEGY TO ADDRESS THE PROJECT-BASED MODEL CONSTRAINTS IN FIELD PROCESSES

One key aspect that has been signaled many times in the analysis of field processes leading to sustainable development is the need to maintain continuity of the field actions over the long periods of time necessary to develop relevant results. This need contradicts one of the key aspects of the contemporary project funding approaches that is its relatively short time life (2-5 years).

In Mesoamerica, the IUCN ORMA Water Management Unit addressed this contradiction through a clustering approach. This approach is quite simple and it basically consists in bringing different projects with different funding sources to work in coordinated and complementing ways in the same territories.

Two examples will illustrate the concept. One is in the area the Guatemalan watersheds flowing from the Tacana volcano, at the Pacific border with Mexico. In these watersheds (Coatan and Suchiate rivers) the activities began with small funds from the IUCN WANI 1 Project in 2002. From the base of these activities and the impact of Stan tropical storm in 2005, it was possible for ORMA to negotiate a larger project in this area with the support of Netherlands Embassy in Guatemala that began in 2007. One year later, in 2008, ORMA negotiated additional support from another Project (MiCuenca) negotiated with the Buffet Foundation in a consortium with CARE and CRS that also has components in other countries implemented by the partners. That same year, the Water and Forest Units of ORMA also agreed to locate in that same area a component of the larger Landscapes and Livelihoods Project (LLS). Finally, but not least important, the global WANI 2 project also had components in this area.

These different projects were not repeating the same things; they were addressing different and complementing aspects of water and watershed management in the area. The overall scheme was conceived during WANI 1. The subsequent project funded by the Netherlands Embassy focused on micro-watersheds, customary rights, inter-institutional coordination and sustainable funding through mechanisms such as payment for environmental services (water). Later, the MiCuenca Project focused on water supply and sanitation and disaster prevention, while the LLS component looked up to forest restoration in the higher parts of the watersheds. The WANI 2 components are related to the transboundary processes between the countries sharing these watersheds and scaling up.

In 2011, almost 10 years from the beginning, several of the mentioned projects ended while others are planned to continue until 2013 and even later while some other proposals are developed to maintain the presence and the activities. These ten years also led to results that can´t be achieved through a short-term intervention, such as the incorporation of promoted practices within the structure of Government and its regular allocation of budget resources as it happened with two local Municipalities that changed its internal zoning (micro-regionalization) adopting the micro-watersheds as criteria to define the new micro-regions and to select their representatives to the Municipal Development Council that approves the annual budgets and plans for the Municipality.

Other interesting case is between some of the Alliances Project areas and the new Project on Good water governance and adaptation to climate change. The first one is ending in September 2011, while the second started in September 2010. The latter choose its three field areas in sites where other ORMA Projects were present: two in Alliances sites (Sixaola river and Paz river watersheds) and the third with the Cahoacan Project in Mexico where a Water Unit project is active. In this case the clustering approach is not being used just for projects belonging to the same unit (e.g. the Water Management Unit) but to projects from different ORMA units (Water Management and Biodiversity

and Sustainable Use). In both cases the new project are providing continuity to local structures and processes already built during the previous interventions.

Annex 13   ORMA Portfolio Analysis

Observations on progress towards the 12 Recommendations from 2007

	Observations from Meso-America
1. A New Compact with Members COUNCIL and the DIRECTOR GENERAL should consider the findings of this review on members, particularly with respect to the outcomes of the Membership Strategy 2005-2008, and provide strategic direction and a longer-term vision for a future policy (or a new "Compact" with members) for IUCN as a membership organization.	No awareness from interviews in the region about development of a policy or 'compact'. Within the region, very positive responses about Copenhagen 2009 and the use of an Advocacy Fund as a within-region tool.
2. A New Membership Strategy 2009-12 COUNCIL and the DIRECTOR GENERAL should develop a new membership strategy based on consultation with the members and input from Commissions and the secretariat. The strategy should be consistent with the new IUCN Strategy 2009.	No evidence of a new membership strategy. Nothing about this came up in interviews with either Secretariat staff or Members. However, the ORMA Regional Office, was able to demonstrate very strong links with a core group of Members, who are involved both in shaping the Regional Programme and as project implementation partners as well as having developed a Mesoamerican Members Engagement, August, 2009 that illustrates the various forms of membership involvement in the regional programme and projects of ORMA across more than a decade, as part of the regional policy of relationship with the members.
3. Analysis of Intervention Assumptions IUCN instigate a process to deepen understanding and more clearly articulate and test the assumptions (theories of change) that underpin how it aims to strategically influence	Widely regarded as needed and some evidence this is being done. ORMA produce a document entitled: "State of the Region" which is a synthesis of the regional situation aimed at providing guidance to stakeholders and influencing relevant policy processes. ORMA also produced a Strategic Advocacy Plan Central America 2006-2010. The first component of this document defines the institutional framework highlighting the link between the Advocacy Plan and the Mesoamerican Program 2005-2008.The second component refers to the analysis of the circumstances surrounding the socio-economic and environmental characteristics of the region. This analysis highlights the challenges faced by regional environmental management and presents a synthesis of the opportunities and threats perceived in this field. The third component involves the definitions and core orientations of the Advocacy Plan, including principles, institutional resources, the purpose and goals of the plan, listing of individual guidelines, results, and key stakeholders as well as IUCN-Mesoamerica's role. One of the Regional Secretariat staff had a coherent view about changes in the region: primarily the

	traditional environmental agenda dropping away from political prominence in 2004; so the need to revitalise the agenda by expanding the social base of support or interest. The Research and Advocacy Fund helps do that and opened the door to implement a cross-cutting approach. Theory of change not clearly stated in project documents even where one genuinely underpins the approach.
4. Enhancing Capacities for Strategic Influencing The DIRECTOR GENERAL, in collaboration with the membership and Commissions, develop a strategy to strengthen IUCN's strategic influencing role, particularly at the regional and national level.	There are many examples of policy engagement in the region. New projects like Advocacy and BMU, and some key staff are inclined in this way; but there is no evidence of an orchestrated or systematic approach. If influencing is examined as a series of processes, then a number of examples can be seen: [see table at the end of the document]
5. Strengthen IUCN as a Knowledge Organization The DIRECTOR GENERAL gives urgent attention and high priority to enhancing IUCN's knowledge management functions and capacities to support the work of the Union.	ERP under implementation. The response from interviews is that staff enter information but don't get much out. Members and Commission members did not provide any clear evidence of using IUCN as a source of knowledge except in a few very specific instances.
6. Strengthening the Monitoring and Evaluation Function The DIRECTOR GENERAL oversee a substantial upgrading of the secretariat's capacities, structures, procedures and resources for monitoring and evaluation processes to support learning and accountability functions and to enable reporting on the Unions activities and achievements in a synthesised and coherent manner.	A lot of work has been done here and some projects show good basic arrangements. ORMA produced a document entitled: ORMA Alignment with the Programmatic and Operational Priorities for 2010-11, that illustrates the relations and the level of alignment of the projects.
7. Enhancing Core Capacities The DIRECTOR GENERAL prepares for approval by Council an overall plan for enhancing core organizational capacities with clear targets, priorities and responsibilities, based on a detailed assessment of the additional resources required. The plan is explicitly linked to the annual business plans from 2009 onwards and the Director General reports on implementation progress regularly to Council.	Not evident at region/country level.
8. Transforming the Project Portfolio The DIRECTOR GENERAL oversee a significant realignment (and potentially a reduction) of the project portfolio such that it enables IUCN to have project resources that are more focused on its strategic influencing, learning, innovation and knowledge management functions.	Continuation of approaches under WANI and LLS. But the shift in ORMA's portfolio to align with the priorities of IUCN has come from the orientation of objectives in the region, not in response to the review recommendations. In fact, the main response recognised after 2007 was the broadening of approach to include Greening the Economy, which opened the door to engagement with the private sector etc.
9. Enhancing Donor Support Framework Donors take a more proactive role in	No response by donors

supporting IUCN to achieve a level and structure of funding that enables it to invest in core organizational capacities and respond to growing demands of the international community.	
10. Diversifying the Partnership Base The DIRECTOR GENERAL and COUNCIL make diversifying the funding base and the establishment of new strategic alliances a central priority over the coming Quadrennial Period.	Partnership and funding base are different entities. Range of partners has broadened to include the private sector and working with ministries wider than Environment. Big improvement in funding diversity. Figures show an increase across the period 2003-2009 from 5 to 16 although 48% is still from only two donors (Denmark and Holland).
11. Strategy and Planning Coherence and Follow-up The DIRECTOR GENERAL and COUNCIL agree on a clear hierarchy and coherence of strategy and planning documents that include a long term strategy, the Quadrennial Programme, and rolling business plans and organisational development plans.	
12. Change Management The DIRECTOR GENERAL establish and lead a change management process that will make an overall diagnosis and analysis of the problems in the Secretariat; will identify the needed changes to operational processes and organizational structures; and will guide management to map out and then implement the changes needed, while ensuring that the impact of changes are subsequently monitored.	

Examples of influencing

Changing perceptions	Environment being treated as as a cross-cutting issue of sustainable development
Setting an agenda	Sustainable house construction
Building networks	Working on cross-border issues (Alianzas)
Developing capacity	Working with private sector on CC adaptation Adoption of EIA guidelines
Changing institutions	CONAGUA México new 2030 Water Agenda
Policy change	Costa Rica Protected areas policy Regional policies on wetlands, protected areas, water, gender Eco-system approach adopted in the draft water law in Panama

Annex 14   The Geography of IUCN

Introduction

The effectiveness of IUCN and its programme of work must to some extent reflect its history and geography. This paper deals with how the current geography evolved. Wilson (2006) states that

"A major milestone for laying the groundwork for regionalization was a revision of the Statutes negotiated at an Extraordinary Session of the General Assembly held in Geneva in 1975, which included replacement of the Executive Board by a Council, two-thirds of whom should represent regions and be elected by the whole membership. Eight statutory regions were defined."

"In the years between 1949 and 1975 membership grew from 65 (40 from Western Europe; two from Eastern Europe; 17 from North America, four from Central and South America, two from Australasia and Oceania and none from Africa or Asia) to some 400 in 97 countries. By 1977 there were three regional desks in Headquarters – for Africa, Asia and Latin America, staffed by a national from each region"

IUCN uses the term regionalisation to mean linking to the functional heterogeneity of eco regions. It uses the term decentralisation to mean giving more power and voice to local offices and members.

"The first regional officer for Eastern Africa was appointed in 1982 and in the same year a regional office for West Africa was opened in Dakar, Senegal, with funding from the French government. This was followed by offices in Zimbabwe (for Southern Africa) and Karachi (for Pakistan) in 1984. In 1985 a full regional office was opened in Kenya (for East Africa). By 1988 additional offices had been established in Central America, the Caribbean and in the USA (the USA office was established under a separate charitable foundation). There were also outposted staff managing the Botanic Garden Conservation Secretariat at Kew and the Conservation Monitoring Centre (later WCMC) in Cambridge, UK."

The situation in 2007

Anon (2007) noted that in 2006

"there are some 49 officially recognised national committees and 6 regional committees"

"There is no common model of how national committees interact with the secretariat, this is considered quite normal as it reflects the diversity of national situations. In some countries thNational Committee is heavily dependent on the Secretariat, in others there is no dependency. Many developing countries the relationship is often co-dependent and often heavily influenced by the genesis and development of both the committee and the Secretariat, as well as by the availability of funding and the influence of key individuals."

"the Secretariat operational regions (also known as the Secretariat regions) do not match the Union's statutory boundaries in all but one instance (Oceania),. The mismatch between statutory and operational regions is further complicated by four Commissions having organizational boundaries that do not match either operational or statutory boundaries. The Species Survival Commission (SSC) has no regional construct, while the Commission on Ecosystem Management (CEM) has the same boundaries as the operational regions."

"In terms of links with Members' committees, most regional committees and regional advisory committees are not aligned with the statutory regions, but with the operational boundaries. In most cases there are good working relationships between the Secretariat and regional and national committees. Particular efforts have been made in the past years to improve the level of interaction with Members through national and regional

committees in the design of the programme, by exploring opportunities for Member participation in the implementation of the programme, and in monitoring and assessing the programme and related activities"

Office classification

This is based on Anon (2008)

Regional office: Clear ToR and most harmonised but do not match OUCN statutory boundaries

Country Office: Not in all regions and patch ToR Power sometimes delegated to a country rep

Country programme office: Don't have a country rep but a programme coordinator. ToRs are different in different places.

Country project offices. Ad hoc funded exclusively through project funds. No delegation of authority

Liaison presence. Not formailised

Sub regional office: Sometimes called country groups restricted to Asia

Outposted global units. Ad hoc eg IUCN Cambridge

Current geography

Jackson *etal* 2010 give a good analysis per region and states that Indonesia is negotiating an MoU with government. **It recommends rationalisation and asks regional directors to give plans to the DG by July 2010.**

The paper recommends:

- **Maintaining modifying and terminating offices**
- **Prioritising eco region s that link IUCN regions eg coral triangle**
- **Capital cities where influence is required**
- **Deliverables and targets to guide the process**

Findings

1. A key driver of change was the idea to reduce "Northern Bias" or "Euro-centricity".
2. Broadening the general membership base appears to be the main driver not empowering countries/regions with the greatest urgency for action/capacity building in relation to biodiversity protection.
3. The external review in 1993 noted the way that Regional offices were established was ad hoc and the role they play varies widely. They called for more external evaluations of regional offices and clearer guidelines on regionalisation.
4. It appears that attempts to develop thematic and geographic priorities based on quantitative approaches have been less successful in IUCN compared with other organisations. Given this it maybe best to give the job to task forces with no "vested interest" but is this possible?
5. To what extent do the global results empower functional geographic focus?
6. The paper by Jackson etal (2010) is a key base line document

Conclusions

1. Current geography represents history and inertia not demand and potential
2. There appears to be nothing to stop agencies "running away with the franchise"

Action

Get a list of offices and committees with ToRs

References

Anon 2007 Creating a better future: Options for organizational change within the decentralized Secretariat of the World Conservation Union. A report of Regionalization and Decentralization Phase II

Anon 2008 IUCN regionalisation and decentralisation Typology of IUCN offices

Jackson W, Pirot J, Renard Y, Semen-Guitart S, 2010 Discussion paper on OUCNs engagement in regions

Wilson A. 2006 A Brief history of regionalisation and decentralisation of OUCN 1980-2006

Annex 15   Workforce and Structure Analysis

Introduction

This Annex provides a variety of background analysis used to support the conclusions and recommendations presented in the main report.

Staffing Analysis

The Review Team was provided with a variety of spreadsheets extracted from the IUCN HR database. These variously provided staff names, units, positions, line managers, regions and countries. Table 1 attached summarises key aspects of staff distribution. Table 2 summarises the distribution of core funded posts. Table 3 summarises grade distribution.

Structure Analysis

IUCN requested each office to supply an organogramme. These are neither held nor maintained centrally. Table 4 attached presents a comparison of the information contained in the organogrammes with the HR database. For Gland, IUCN supplied a staff list, and generated organogrammes from the source spreadsheet . Unfortunately, these were unusable.

Reconciliation between the organogramme and the HR database proved impossible. In summary:

Data Source	Count
Total Headcount by country/region	1022
FTE equivalents by country/region	992.6
Listed (named) employees	1081
Estimated matched employees by name from organogramme data (where hard data was supplied)	68%
Number of employees associated with supplied organogrammes	946
Estimated numbers from Headcount list mapped onto missing organogrammes	96

Table 4 also summarises the results of an exercise to try to match the personnel named in the global staff list with those named in the organogrammes. The discrepancies are massive (for example, only 23 name matches out of 40 posts in Bangladesh).

The only possible conclusion is that the organogrammes provided are not up-to-date. Because of payroll control, it seems reasonable to accept the global staff spreadsheet numbers (1081) and this data has been used in all subsequent analysis.

Organogramme Analysis

There were numerous other problems with the organogrammes, including:

- The same post holder being named in several offices (although there was no consistent pattern, for example, in ESARO, some categories of posts in South Africa were accounted for in the Kenya organogramme, while others were not).
- Domestic and support staff (and even senior staff in some cases) being referred to by only one name (or unnamed in some cases), particularly in parts of Asia region.
- No clear distinction on organogrammes between genuinely regional or country staff, outposted global staff, or seconded staff.
- No identification of part time staff.

The key conclusions which can be drawn from this analysis are that:

- IUCN does not have current establishment (as opposed to personnel) records.
- This means that there can be no central coordination or control of establishments. Basically, each office or unit may make a case for posts without any standard organisational model.
- When interviewed, the HR team themselves identified the problem of high staff turnover in regions especially as projects begin and end. Project recruitment is 'non-stop'. This situation, without any standard organisational model or establishment control policy, creates a situation where a region can recruit large numbers of staff on project funds, who are then drawn into other areas of work, creating an incentive to find ways of continuing their employment.
- With a case-by-case approach to establishment, the organisation is not in a position to develop or enforce norms (for example, in terms of the ratio of support staff to programme staff; the optimal size of, for example, a regional communications team; the optimal managerial span of control; the necessary separation of duties (particularly with reference to HR and financial management)).
- With extreme discrepancies between the global staff list and staff named on organogrammes, the usefulness and credibility of personnel records for appraisal or career development must be called into question.
- Without an adequate organogramme, how does a regional or country office 'explain itself' to members, potential partners, or potential donors?

Comparing Expenditure with Staff Distribution

The Review Team proposed to make a comparison of the distribution patterns of financial resources with human resources, but this has not been possible. Although IUCN made strenuous efforts to provide financial information, and absolute reconciliation was not possible because the HR database and finance system appear to categorise IUCN offices differently.

Table 1: Staff Distribution

Distribution Analysis																			
		Management			Professional			Service			Support			None			Total Staff	% of total IUCN Staff	Total Female	%age Female
		All	Female	% Female	All	Female	% Female	All	Female	% Female	All	Female	% Female	All	Female	% Female				
HQ		31	8	26	104	60	58	0	0		57	49	86	10	5	50	202	19	117	58
ARO		27	8	30	141	56	40	5	0	0	127	32	25	0	0		300	28	96	32
PACO		2	0	0	93	14	15	6	1	17	102	36	35	0	0		203	19	51	25
ESARO		4	0	0	42	17	40	0	0		55	21	38	0	0		101	9	38	38
Oceania		3	1	33	9	4	44	0	0		8	7	88	0	0		20	2	12	60
ORMA		3	2	67	38	17	45	2	0	0	29	16	55	0	0		72	7	35	49
Cambridge		2	0	0	17	10	59	0	0		4	4	100	0	0		23	2	14	61
ELC		1	0	0	6	3	50	0	0		6	6	100	0	0		13	1	9	69
Mediterranean		1	0	0	7	2	29	0	0		6	5	83	0	0		14	1	7	50
RAMSAR		5	1	20	9	8	89	0	0		1	0	0	1	0	0	16	1	9	56

RofE		3	0	0	17	13	76	0	0		10	5	50	1	0	0	31	3	18	58
SUR		2	0	0	11	9	82	0	0		9	5	56	0	0		22	2	14	64
TRAFFFIC		2	0	0	11	8	73	0	0		8	8	100	0	0		21	2	16	76
US		3	1	33	13	8	62	0	0		6	5	83	0	0		22	2	14	64
WA		1	0	0	11	5	45	0	0		7	5	71	0	0		19	2	10	53
Total non-HQ		59	13	22	425	174	41	13	1		378	155	41	2	0	0	877	81	343	39
Total All Staff		90	21	23	529	234	44	13	1	17	435	204	47	12	5	47	1079	100	460	43

Table 2: Core funded posts

Core funded %			Total	ARO	ELC	ESARO	Oceania	ORMA	PACO	TRAFFIC	US	WA	
		100	294	62	4	76	11	37	67	21	5	11	294
		90								1			1
		80								2			2
		70							2				2
		60			1								1
		54			1								1
		50			6			1	2	1			10
		44			1								1
		25		1									1
		0	577										0
			890	Total categorised									313
			190	Blanks									
			1080										

Table 3: Grade distribution

Grade	Number	Comment
A1	69	All support
A2	104	All support
A3	200	Mostly support but some profesional
D	12	Directors
DG	1	
JP	2	Professional based at HQ
M	53	Management
Not Classified	73	Professional and support

O	70	All support
P1	228	Professional
P2	171	Professional
S	2	DDG and RAMSAR
SP	73	Management and professional
Blank	23	Volunteers, temporary and Interns
Total	1081	

Table 4: Analysis of Organogrammes Supplied (Comparison with HR Database)

REGION	COUNTRY	TOTAL EMPLOYEES	NAME MATCHES	TOTAL POSTS	VACANCIES
Oceania		20	17	24	0
ESARO	Kenya	48	33	52	2
	S. Africa	4	6	15	2
	Tanzania	9	7	11	0
	Uganda	8	7	13	0
	Zambia	1	0	3	0
	Mozambique	7	6	11	1
ARO	Thailand	53	6	35	16
	Bangladesh	40	23	33	3
	Cambodia	7	6	9	1
	Pakistan	108	90	158	10
	Vietnam	9	8	19	5
	Sri Lanka	36	21	25	3
	China	7	5	5	0
	India	9	6	14	3
	Lao PDR	18	12	20	4
	Nepal	13	10	22	0
PACO	Burkina Faso	58	49	72	4
	Cameroon	38	11	32	6
	Mauritania	24	16	20	0
	Niger	3	3	3	0
	RDC	10	8	14	0
	Senegal	23	15	22	0
	Mali	16	12	14	1
ORMA	Costa Rica	49	29	62	4
	(Guatemala)		2		

TRAFFIC		21	18	38	2
ELC		13	13	14	0
US		22	20	24	0
RofE		31	20	?	?
HQ		200	?	207	?
SUR		22	20	29	0
WA		19	11	17	0
TOTAL		**946**		**1037**	
No organogrammes for:					
	Palestinian Territory				
	Zimbabwe				
	Spain				
	Guatamala				
	Congo				
	Gabon				
	Ghana				
	Guinea-Bissau				
	Liberia				
	Nigeria				
	Ramsar				
	Cambridge				

Annex 16   Members Survey Questionnaire

See separate PDF file

Questionnaire for IUCN Members

About Your Organisation

Thank you for taking part in the survey. We very much value your input to this Review.

This survey is designed primarily to look at changes that have occurred since the 2007 IUCN External Review. Simply click through the questions on the next few pages, answering as fully as possible.

If you have any problems or queries please don't hesitate to get in touch with the survey coordinator, Daisy Macdonald, daisy.macdonald@itad.com

*Q1. What is your type of organisation?

- ○ State member
- ○ Government ministry/department/agency
- ○ INGO
- ○ NGO
- ○ Research organisation
- ○ Other

Other (please specify)

[   ]

*Q2. What is the number of employees in your organisation?

- ○ 1 to 5
- ○ 6 to 25
- ○ 26 to 100
- ○ More than 100

Q3. What is the spread of countries where your organisation works?

- ○ Home country only
- ○ Home and other countries in same region
- ○ Multi-region or global

*Q4.How many IUCN programmes or projects is your organisation currently participating in?

- ○ 0
- ○ 1 to 5
- ○ More than 5

Questionnaire for IUCN Members

＊Q5. Is someone from your organisation currently actively involved in a National or Regional IUCN Committee?

○ YES

○ NO

＊Q6. In what YEAR did your organisation join IUCN?

[ ]

Membership and the Value Proposition

For the following questions, unless asked otherwise, please indicate if you: Strongly Agree/Agree/Disagree/Strongly Disagree/Don't Know

For Qs 7-10, please indicate if you:

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
Q7. I am familiar with the content of the 2009-2012 IUCN Programme	○	○	○	○	○
Q8. The IUCN 'Value Proposition' clearly shows the unique selling point of IUCN and gives focus to the organisation	○	○	○	○	○
Q9. IUCN has a clear purpose with indicators of achievement	○	○	○	○	○
Q10. Since 2009, IUCN has become much better at engaging members in delivering programme results	○	○	○	○	○

Q11. Please rate on a scale of 1-6 the extent to which improvements have occurred in the following areas (1= no improvement, 6 = extensive improvement):

	1	2	3	4	5	6
• Communications from Secretariat to Members	○	○	○	○	○	○
• Links between Members and Commissions	○	○	○	○	○	○
• Clearer benefits and responsibilities of Membership	○	○	○	○	○	○
• Communication between Members	○	○	○	○	○	○
• More efficient and effective services from the Secretariat	○	○	○	○	○	○

Q12.

a) Please indicate in the box below those benefits which you currently receive as a member (Please limit responses to short phrases):

[ ]

b) Please indicate in the box below any ADDITIONAL benefits you think you should receive (Please limit responses to short phrases):

Q13. Concerning the role of the Secretariat, please rate on a scale of 1-6 the importance of the following functions (1= low importance, 6 = high importance):

	1	2	3	4	5	6
• Providing direct member services such as publications, advice, and facilitating communications and links between members.	○	○	○	○	○	○
• Providing technical leadership in areas of conservation.	○	○	○	○	○	○
• Obtaining funds for and implementing a large portfolio of conservation-related projects and programmes.	○	○	○	○	○	○
• Influencing global, regional and national conservation policies.	○	○	○	○	○	○

Strategy and Planning Coherence

For the following statements please indicate if you:

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
Q14. IUCN's current strategies and programmatic approach have brought a greatly sharpened focus to the organisation	○	○	○	○	○
Q15. IUCN's organisational structure is well suited to its objectives	○	○	○	○	○
Q16. IUCN's work in my country is well aligned with the priority biodiversity and conservation needs of the country	○	○	○	○	○
Q17. IUCN's work now demonstrates better integration and understanding of the complex interface between the environmental, economic and socio-cultural components of sustainable development	○	○	○	○	○

Q18. Which of the following statements best describes the core feature of IUCN's One Programme approach?

○ • Strengthened coherence, realism and consistency in delivering outputs and results

○ • Delivery of Programmes through a network approach

○ • Active involvement, synergies and joint actions among the Union's three constituent parts: (1) Members; (2) network of experts in the Commissions; and (3) Secretariat

Effectiveness

A 'theory of change' is a description of how activities can be managed to stimulate a process of change that leads to desired objectives.
For an 'influencing organisation' such as IUCN, these objectives are often called 'behavioural change results'.
Theory of change includes assumptions about risks and the roles of other parties.

Questionnaire for IUCN Members

For the following statements please indicate if you:

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
Q19. IUCN has successfully integrated a theory of change perspective into situation analysis, programme and project planning, and monitoring and evaluation.	○	○	○	○	○
Q20. IUCN is effective at engaging with policy/law makers in my country, as evidenced by real effects on the ground	○	○	○	○	○
Q21. IUCN is effective at engaging with policy/law makers in my region, as evidenced by real effects on the ground	○	○	○	○	○

Capacity for Influencing at Regional and Country Levels

Q22. IUCN has adopted methods that provide better communication of important conservation messages:

○ Strongly Agree   ○ Agree   ○ Disagree   ○ Strongly Disagree   ○ Don't Know

Q23. Please rate on a scale of 1-6 the extent to which improvements have occurred in the following areas (1= no improvement, 6 = extensive improvement):

	1	2	3	4	5	6
• Clear roles and responsibilities for national and regional committees in policy/law and regulatory influencing	○	○	○	○	○	○
• IUCN objectives that aim to influence policy are well coordinated and prioritized across the Union	○	○	○	○	○	○
• IUCN has conducted an effective capacity development programme for Members	○	○	○	○	○	○
• Regional offices have dedicated staff and resources for strategic influencing	○	○	○	○	○	○

IUCN as a Knowledge Organisation

A Knowledge Organisation uses a range of strategies and practices to identify, create, communicate, and enable adoption of insights and experiences through assumption testing. Such insights and experiences comprise organisational knowledge.
Knowledge is managed to improve organizational performance through innovation and sharing of lessons learned.

For the following statements please indicate if you:

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
Q24. IUCN is clearly managed as a 'Knowledge Organisation'	○	○	○	○	○
Q25. Knowledge is effectively shared within the Union	○	○	○	○	○
Q26. IUCN programmes make effective use of knowledge across the Union	○	○	○	○	○
Q27. IUCN helps to improve the learning capabilities of its members through focused capacity building	○	○	○	○	○

Strengthened Planning, Monitoring and Evaluation and Learning

Questionnaire for IUCN Members

For the following statements please indicate if you:

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
Q28. Planning, monitoring and evaluation, and learning capacity is well developed throughout IUCN	○	○	○	○	○
Q29. Planning, monitoring and evaluation strongly support learning and accountability within IUCN	○	○	○	○	○
Q30. Members' involvement in programme implementation is effectively developed through IUCN programme planning and monitoring	○	○	○	○	○

Realignment of the Project Portfolio

Q31. There is clear evidence that the IUCN project portfolio is being realigned to be more focused on strategic influencing, learning, innovation and knowledge management:

○ Strongly Agree   ○ Agree   ○ Disagree   ○ Strongly Disagree   ○ Don't Know

Q32. IUCN Currently – Please rate on a scale of 1-6 the following statements which best describe IUCN today (1 = a poor description, 6 = a very good description):

	1	2	3	4	5	6
• An organisation that has evolved to meet global conservation challenges	○	○	○	○	○	○
• Consistently of high quality across all its programmes	○	○	○	○	○	○
• The global number one facilitator of cooperation for conservation	○	○	○	○	○	○
• Most effective in global conventions such as the CBD, and in convening useful commissions	○	○	○	○	○	○
• An organisation whose potential has yet to be realised	○	○	○	○	○	○

Questionnaire for IUCN Members

Q33. IUCN in the Future – Please rate on a scale of 1-6 the following statements which best describe your vision of how the IUCN should be in the future (1 = a poor description, 6 = a very good description):

	1	2	3	4	5	6
• An effective union that can mobilise the individual and collective strength of its membership at national and international level.	○	○	○	○	○	○
• A union with strong and close links between the commissions, members and the secretariat to develop policy and strategic influencing.	○	○	○	○	○	○
• A union less involved in the implementation of field projects and more effective in strategic influencing.	○	○	○	○	○	○
• Proficient at conducting excellent situation analysis at country level of policy or procedural reform necessary to meet specific conservation needs	○	○	○	○	○	○
• Able to develop plans for specific global or national policy or procedural reform with clear behavioural indicators	○	○	○	○	○	○
• Have the capacity to monitor and evaluate current and proposed policy reforms in terms of effects on the ground, and use that information to test which pathways are most effective	○	○	○	○	○	○
• Helping others to understand how biodiversity is linked to food security so that they can develop sound policy and procedures	○	○	○	○	○	○
• Facilitating a new breed of national biodiversity action plans with citizen involvement to the level of participatory monitoring and evaluation including rights based approaches	○	○	○	○	○	○
• A leading player in low carbon futures for the planet	○	○	○	○	○	○

34. If you could change one thing about the way IUCN functions, or is organised, what would that change be?

Q35. What products and services would IUCN members be willing to pay the Secretariat to provide?

Annex 17   Members Survey Analysis

Summary of key points

- ❖ Responses to the Member survey are largely positive expressing support for IUCN and the way it has been changing in recent years
- ❖ Perceptions of progress in some areas is not high among members and there are a high proportions of 'don't know' responses to some questions
- ❖ Communication between the Secretariat and Members has improved
- ❖ But involvement and understanding of what IUCN is doing comes from participation in project activities, rather than communication from the Secretariat
- ❖ There is more scope and desire for Members to be engaged in project implementation
- ❖ Significant gaps exist in Member awareness about issues of strategy and planning, such as the value proposition and of concepts such as theory of change, which are a key link between field projects and policy influencing
- ❖ Members think that IUCN is not effective at engaging with policy makers and there has been little improvement in developing Members' capacity for this role

Purpose of the survey

IUCN, as an environmental network organisation, is comprised of over 1,100 member organisations (including more than 200 government members and more than 800 NGOs), as well as 11,000 individual experts (the subject of a separate survey). The Review Team engaged the IUCN's Regional Offices in country to assist in the selection of Members for interview and focus groups during the fieldwork and this forms a core element of information gathered during field visits. But the potential additional value to IUCN of engaging all members through a web survey was identified during the Inception Phase and agreement reached with the External Review Steering Committee. The possibility was considered of amalgamating this survey with one planned by the Constituency Support Unit, but it was decided to implement this independently.

The survey has enabled the Review Team to gather views and information from a much wider sample than would have been possible through face to face or telephone interviews, at modest cost. The survey aimed to be appreciative of IUCN rather than provoke criticism.

Design and content

The survey questionnaire was designed after preliminary meetings in IUCN HQ, and after the first country visit to Ghana, so that experience from those visits would inform question design and phrasing. The questions were developed from three sources:

- The terms of reference for the review
- Progress against recommendations from the 2007 Review
- Internal plans and objectives in the 2009-12 Programme and arrangements for development of planning, monitoring and evaluation

A total of 33 questions were posed, of which the first six gathered information about the member organisation. Most questions had closed response categories; two were open-ended, allowing members to comment on issues in their own words.

The survey was administered using 'Survey Monkey' a proprietary web-based survey tool. All responses are anonymous and it is not possible for the survey analysts to trace the source of a specific response. The survey was offered in English, Spanish and French languages.

Response rate

A comprehensive and up-to-date list of members was provided by the Constituency Support Unit. A total of 1,143 members were contacted and asked to complete the survey. The survey website was visited by 232 respondents in English; 77 in Spanish and 44 in French. These generated 292 usable responses as a small number of people reviewed the survey but did not complete it. The usable responses represent 29% of the members contacted. Only one contact point was used for each Member organisation, so results reflect the opinion of that respondent. It is not known to what extent respondents consulted with other people in their organisation.

Responses to the questions

The basic data are set out in the pages following this text. Each table shows the question number and question text, the responses as a percentage and the actual number of responses. Total responses vary from question to question.

Representativeness of the responses

Question 1 recorded the type of member organisation. These are a reasonable match with the data for all members reported on the IUCN website.[8] The Review survey has a slightly higher proportion of government agencies (12.3% compared with 10%) and a slightly lower proportion of state members (4.5% compared with 7.5%). The proportion of NGOs is 67.5% compared with 71%; and of INGO 6.2% compared with 8.7% for IUCN as a whole. These small variations are not thought to create any bias in the results.

Question 2 indicates the size of responding members in terms of number of employees. Overall, 54% have 25 employees or fewer; only 27% have more than 100, mainly among government and research organisations. Some 23% of NGOs are very small organisations with only 5 people or fewer.

Question 3 shows that 45% of members work only in their own country; 28% are active in other countries within their region; and 27% have a multi-regional or global spread of work.

Members' extent of involvement with IUCN can be seen in Questions 4 and 5. One half of respondents are not participating in any projects with IUCN; and 47% are active in between 1 and 5 projects. A tiny proportion, mostly State Members, is participating in more than five projects: 61% claim to be actively involved in a National or Regional IUCN Committee.

Some 52% of respondents became members since the year 2000; 23% joined during the 1990s and 15% date their membership earlier than that, with seven respondents having been members since 1948.

Overall the sample embraces a wide range of size, longevity of membership and active involvement with IUCN.

Membership and the value proposition

Questions 7 to 10 probed how well members are familiar with current plans and objectives. Three clear findings emerge from the responses:

- More than half the members say they are familiar with the 2009-12 Programme; consider that the Value Proposition clearly shows the unique selling point of IUCN and gives focus to the organisation; and think that IUCN has a clear purpose with indicators of achievement.
- Significant minorities of the INGO and NGO members are not familiar with the Programme; disagree about the Value Proposition; and do not share the view that IUCN has a clear purpose with indicators.

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[8] http://www.iucn.org/about/union/members/ As of 19 July 2011: total members 1156 of which States 87 (7.5%); Government agencies 117 (10%); national NGOs 818 (71%); affiliates 33 (2.8%); international NGOs 101 (8.7%).

- A quarter of all respondents don't know about the Value Proposition.

When asked if they agree with the statement that IUCN has become much better at engaging members in delivering programme results, 52% agreed or strongly agreed; 29% disagreed or strongly disagreed. And 20% said they did not know (perhaps because they are among the more recent new members).

When responses are cross-tabulated against number of projects the Member is participating in, it is clear that frequency of agreement rises and frequency of 'don't know' falls with increasing involvement in projects. Participation in projects is the practical route to greater understanding and awareness about IUCN.

In question 11, information was gathered about the way changes have developed in the relationship with Members. Members were asked to rate on a scale of 1 to 6 where 1 is no improvement and 6 is extensive improvement:

a) Communications from Secretariat to Members
b) Links between Members and Commissions
c) Clearer benefits and responsibilities of Members
d) Communication between Members
e) More efficient and effective services from the Secretariat

A majority of respondents (45%) rated sub-question a) improvements in communications between the Secretariat and Members, at 5 or 6. But for b) to e) the majority response (47% to 53%) was for 'only slight change' scores of 3 to 4. Some 20% did report perceptions of extensive change in these areas.

Role of the Secretariat towards Members

When asked about their views on the relative importance of different roles of the Secretariat, stronger findings emerge. Ratings of 5 or 6, indicating high importance, were given by 50% to 66% for the four roles:

a) Providing direct member services such as publications, advice, and facilitating communications and links between members
b) Providing technical leadership in areas of conservation
c) Obtaining funds for and implementing a large portfolio of conservation-related projects and programmes
d) Influencing global, regional and national conservation policies

The highest responses were for a) and d) and the lowest for b) and c).

Coherence of IUCN's strategy and planning

Questions 14 to 17 examine Members understanding of and perceptions about IUCN's strategy planning and planning coherence. When asked if they agreed or disagreed, 75% of respondents agreed or strongly agreed that IUCN's work now demonstrates better integration and understanding of the complex interface between the environmental, economic and socio-cultural components of sustainable development. 66% believe that IUCN's current strategies and programmatic approach have brought a greatly sharpened focus to the organisation. Somewhat lower majorities of 54% and 56% respectively agree or strongly agree that IUCN's organisational structure is well suited to its objectives and the IUCN's work in their (the member's) country is well aligned with the priority biodiversity and conservation needs of the country. This is interesting as it supports the hypothesis that IUCN has the vision in pace but does not yet have the organisational structure to implement the vision. Between 11% and 18% of respondents answered 'don't know' to these questions, but the more projects a Member participates in the lower the percentage of don't know.

During the 2009-12 Programme period, the adoption of the 'One Programme' concept has been a major initiative by the Secretariat. Responding to question 18, 54% of Members thought (correctly) that the core feature of the One Programme is '*Active involvement, synergies and joint actions among the Union's three constituent parts: (1) Members; (2) network of experts in the Commissions; and (3) Secretariat*'. Whilst more than half, this is a relatively low percentage for an initiative that is so central to IUCN's strategy.

Aspects of effectiveness

Effectiveness is a difficult area for IUCN outside specific project objectives. The survey examined Members' views of effectiveness in two ways. Firstly, (Q19) by asking whether Members agreed that IUCN has successfully integrated a theory of change perspective into situation analysis, programme and project planning, and monitoring and evaluation. Secondly, (Q20, Q21)by asking about members views on IUCN effectiveness at engaging with policy/law makers in their country and their region, as evidenced by real effects on the ground.

The theory of change question was inserted because the 2007 Review put emphasis on clearer development and articulation of theory of change. Some 52% agreed about theory of change; but 31% said they did not know.

A majority of Members (49% and 42% respectively) disagreed or strongly disagreed that IUCN is effective at engaging with policy/law makers in their country and their region. Significantly, minorities of 15% and 21% said they didn't know.

Capacity for influence

Following on from Questions 20 and 21 about effectiveness of policy influence, Questions 22 and 23 look at IUCN's adoption of methods for improved communication and progress in areas where IUCN has been effective in supporting capacity for influence.

Three quarters of all Members responding agree or strongly agree that IUCN has adopted methods that provide better communication of important conservation messages.

In response to a question asking members to rate improvements in the following four areas (1=no improvement, 6=extensive improvement) fairly consistent replies were received:

   a) Clear roles and responsibilities for national and regional committees in policy/law and regulatory influencing
   b) IUCN objectives that aim to influence policy are well coordinated and prioritized across the Union
   c) IUCN has conducted an effective capacity development programme for Members
   d) Regional offices have dedicated staff and resources for strategic influencing

For all four actions, the main response was for ratings 3 and 4, conveying a message that Members perceive improvements to have been slight. Moreover, 10% to 19% of Members felt there had been no improvement in these areas.

IUCN as a knowledge organisation

Most members (74%) agree with the statement that IUCN is clearly managed as a knowledge organisation – question 24. That proportion falls when asked whether knowledge is effectively shared within the Union (61%) – question 25; and whether IUCN programmes make effective use of knowledge across the Union (54%) – question 26. In all three questions, significant minorities reported they 'don't know'.

Opinions were much more divided as to whether IUCN helps to improve the learning capabilities of its members through focused capacity building – question 27. A total of 45% agreed or strongly agreed; whilst 40% disagreed or strongly disagreed. The remainder were 'don't know'. Members actively engaged on IUCN projects were more in agreement than those who are not.

Planning, monitoring and evaluation

Planning, monitoring and evaluation have been promoted as core areas to strengthen the quality and focus of IUCN's portfolio and to support learning within the organisation. Three questions examined capacity development and the link with learning. The results are summarised here.

	Agree	Disagree	Don't know
28. Planning, monitoring and evaluation, and learning capacity is well developed throughout IUCN	52%	24%	25%
29. Planning, monitoring and evaluation strongly support learning and accountability within IUCN	47%	20%	33%
30. Members' involvement in programme implementation is effectively developed through IUCN programme planning and monitoring	39%	45%	17%

Most members agree that capacity is well developed and that PM&E support learning and accountability. But the majorities are small and the proportion responding 'don't know' is high. In contrast, a majority disagree that members' involvement in implementation is being developed through programme planning and monitoring. Agreement is stronger and the level of don't know is lower for those members who are actively involved in IUCN projects.

The portfolio – IUCN as a whole

In question 31, Members were asked if they agreed that there is clear evidence that the IUCN project portfolio is being realigned to be more focused on strategic influencing, learning, innovation and knowledge management: 53% agreed or strongly agreed, but 32% reported that they did not know.

The last two questions, 32 and 33 asked members to take a broad view of IUCN as a whole and rate the Union as it stands today and as they would like to see it in the future, against a number of statements. These are shown in the tables below, to illustrate the range of responses.

IUCN CURRENTLY - please rate on a scale of 1-6 the following statements which best describe IUCN today (1=poor description, 6=very good description)

Rating 1-6	1&2	3&4	5&6
32a) An organisation that has evolved to meet global conservation challenges	9%	42%	50%
32b) Consistently of high quality across all its programmes	15%	56%	29%
32c) The global number one facilitator of cooperation for conservation	17%	43%	40%
32d) Most effective in global conventions such as the CBD, and in convening useful commissions	10%	42%	48%
32e) An organisation whose potential has yet to be realised	13%	31%	55%

The responses convey positive perceptions about an organisation that has changed to meet new challenges and has proven effectiveness in areas such as the CBD. But it is an organisation that does

not realise its potential. Consistency of high quality received only a 'moderate' score of 3-4 and opinions were mixed about IUCN's unique role as a facilitator of cooperation for conservation.

IUCN in the FUTURE - please rate on a scale of 1-6 the following statements which best describe your vision of how the IUCN should be in the future (1=poor description, 6=very good description)

Rating 1-6	1&2	3&4	5&6
33a) An effective union that can mobilise the individual and collective strength of its membership at national and international level	5%	23%	72%
33b) A union with strong and close links between the commissions, members and the secretariat to develop policy and strategic influencing	7%	26%	67%
33c) A union less involved in the implementation of field projects and more effective in strategic influencing	12%	43%	45%
33d) Proficient at conducting excellent situation analysis at country level of policy or procedural reform necessary to meet specific conservation needs	7%	42%	51%
33e) Able to develop plans for specific global or national policy or procedural reform with clear behavioural indicators	9%	37%	53%
33f) Have the capacity to monitor and evaluate current and proposed policy reforms in terms of effects on the ground, and use that information to test which pathways are most effective	6%	36%	58%
33g) Helping others to understand how biodiversity is linked to food security so that they can develop sound policy and procedures	9%	38%	52%
33h) Facilitating a new breed of national biodiversity action plans with citizen involvement to the level of participatory monitoring and evaluation including rights based approaches	10%	36%	53%
33i) A leading player in low carbon futures for the planet	15%	37%	47%

Amongst the generally positive responses to these descriptions two points emerge:

- Members want to see a more effective use made of the unique feature of IUCN, it's union and membership. This indicates strong support for the concept of 'One Programme', even though many members were clearly not familiar with it (see responses to question 18).
- Two statements received less than 50% support at ratings 5 and 6 and more than 10% for 1-2. The tension between being a field project organisation and being a policy influencer remains, with only modest support for shifting out of projects. Many members are not convinced IUCN should prioritise becoming a leading player in low carbon futures.

Annex 18   Commission Members Survey Questionnaire

See separate PDF file

IUCN Review - Questionnaire for Commission Members

Introduction

Thank you for taking part in the survey. We very much value your input to this Review.

This survey is designed primarily to look at changes that have occurred since the 2007 IUCN External Review. Simply click through the questions on the next few pages, answering as fully as possible.

If you have any problems or queries please don't hesitate to get in touch with the survey coordinator, Daisy Macdonald, daisy.macdonald@itad.com

*Q1. a) Are you a member of an organisation?

○ YES

○ NO

Q1 b) If YES, please indicate what sort of organisation you are a member of:

○ Government ministry/department/agency

○ INGO

○ NGO

○ Research organisation

○ Other

Other (please specify)

[   ]

*Q1c) Please specify country in the box below:

[   ]

*Q2. Which IUCN Commission/s do you belong to?

☐ Commission on Education and Communication (CEC)

☐ Commission on Environmental, Economic and Social Policy (CEESP)

☐ Commission on Environmental Law (CEL)

☐ Commission on Ecosystem Management (CEM)

☐ Species Survival Commission (SSC)

☐ World Commission on Protected Areas (WCPA)

Q3. Do you belong to any specific speciality groups, sub-groups or working groups within any of the Commissions? Please give details in the box below:

[   ]

*Q4. In which YEAR did you first join a Commission?

[   ]

Commission Activities

Q5. Are you currently engaged in any specific work for a Commission? If YES, which of the following list most closely describes the work? (Tick as many as apply)

- ☐ • Drafting a paper (alone or with other authors)

- ☐ • Commenting on a draft paper or report

- ☐ • Providing information in response to a specific enquiry

- ☐ • Conducting a programme or activity of research

- ☐ • Preparing training or briefing materials

- ☐ • Drafting or commenting on a policy note or brief

- ☐ • Preparing to attend a conference, workshop or meeting

- ☐ • Other

Other (please specify)

[   ]

Q6. If you are NOT currently actively engaged, have you carried out any of the tasks in the list below on previous occasions? If YES, please tick as many as apply:

- ☐ Drafting a paper (alone or with other authors)

- ☐ Commenting on a draft paper or report

- ☐ Providing information in response to a specific enquiry

- ☐ Conducting a programme or activity of research

- ☐ Preparing training or briefing materials

- ☐ Drafting or commenting on a policy note or brief

- ☐ Preparing to attend a conference, workshop or meeting

- ☐ Other

Other (please specify)

[   ]

Q7. How many IUCN programmes or projects are you personally participating in?

- ○ 0

- ○ 1 to 5

- ○ More than 5

Q8. Are you personally involved in a National or Regional IUCN Committee?

- ○ YES

- ○ NO

Membership and the Value Proposition

IUCN Review - Questionnaire for Commission Members

For the following questions, unless asked otherwise, please indicate if you: Strongly Agree/Agree/Disagree/Strongly Disagree/Don't Know

For Qs 9-11, please indicate if you:

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
Q9. I am familiar with the content of the 2009-2012 IUCN Programme	○	○	○	○	○
Q10. The IUCN 'Value Proposition' clearly shows the unique selling point of IUCN and gives focus to the organisation	○	○	○	○	○
Q11. Since 2009, IUCN has become much better at engaging members in delivering programme results	○	○	○	○	○

Q12. Please rate on a scale of 1-6 the extent to which improvements have occurred in the following areas (1= no improvement, 6 = extensive improvement):

	1	2	3	4	5	6
• Communications from Secretariat to Commission members	○	○	○	○	○	○
• Links between Commissions and Members	○	○	○	○	○	○
• Clearer benefits and responsibilities of Commission members	○	○	○	○	○	○
• Communication between Commission members	○	○	○	○	○	○
• More efficient and effective services from the Secretariat	○	○	○	○	○	○

Q13. Concerning the role of the Secretariat, please rate on a scale of 1-6 the importance of the following functions (1= low importance, 6 = high importance):

	1	2	3	4	5	6
• Providing direct member services such as publications, advice, and facilitating communications and links between Commission members.	○	○	○	○	○	○
• Providing technical leadership in areas of conservation.	○	○	○	○	○	○
• Obtaining funds for and implementing a large portfolio of conservation-related projects and programmes.	○	○	○	○	○	○
• Influencing global, regional and national conservation policies.	○	○	○	○	○	○

Commission Membership

Q14. What value do you gain from membership of a Commission? Do you feel you:

○   • contribute more than you benefit personally

○   • benefit more than you contribute

○   • contribute and benefit approximately the same

Q15. Please rate the following in terms of the value you gain from membership of a Commission on a scale of 1-6 (1= low value, 6 = high value):

	1	2	3	4	5	6
• Connections to peers and other researchers working in the same field	○	○	○	○	○	○
• Prestige and brand value from IUCN	○	○	○	○	○	○
• Access to the latest knowledge and best practice	○	○	○	○	○	○
• Ability to engage and influence the strategic direction of IUCN	○	○	○	○	○	○
• Access to financial resources to fund your research interests and attend events	○	○	○	○	○	○
• Ability to influence policy and bring about behavioural change among policymakers	○	○	○	○	○	○

Strategy and Planning Coherence

For the following statements please indicate if you:

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
Q16. IUCN's current strategies and programmatic approach have brought a greatly sharpened focus to the organisation	○	○	○	○	○
Q17. IUCN's organisational structure is well suited to its objectives	○	○	○	○	○
Q18. IUCN's work in my country is well aligned with the priority biodiversity and conservation needs of the country	○	○	○	○	○
Q19. IUCN's work now demonstrates better integration and understanding of the complex interface between the environmental, economic and socio-cultural components of sustainable development	○	○	○	○	○

Q20. Which of the following statements best describes the core feature of IUCN's One Programme approach?

○ • Active involvement, synergies and joint actions among the Union's three constituent parts: (1) Members; (2) network of experts in the Commissions; and (3) Secretariat

○ • Delivery of Programmes through a network approach

○ • Strengthened coherence, realism and consistency in delivering outputs and results

Effectiveness

A 'theory of change' is a description of how activities can be managed to stimulate a process of change that leads to desired objectives.
For an 'influencing organisation' such as IUCN, these objectives are often called 'behavioural change results'.
Theory of change includes assumptions about risks and the roles of other parties.

IUCN Review - Questionnaire for Commission Members

For the following statements please indicate if you:

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
Q21. IUCN has successfully integrated a theory of change perspective into situation analysis, programme and project planning, and monitoring and evaluation.	○	○	○	○	○
Q22. IUCN is effective at engaging with policy/law makers in my COUNTRY, as evidenced by real effects on the ground	○	○	○	○	○
Q23. IUCN is effective at engaging with policy/law makers in my REGION, as evidenced by real effects on the ground	○	○	○	○	○

Capacity for Influencing at Regional and Country Levels

Q24. IUCN has adopted methods that provide better communication of important conservation messages:

○ Strongly Agree   ○ Agree   ○ Disagree   ○ Strongly Disagree   ○ Don't Know

Q25. Please rate on a scale of 1-6 the extent to which improvements have occurred in the following areas (1= no improvement, 6 = extensive improvement):

	1	2	3	4	5	6
• Clear roles and responsibilities for national and regional committees in policy influencing	○	○	○	○	○	○
• IUCN objectives that aim to influence policy are well coordinated and prioritized across the Union	○	○	○	○	○	○
• IUCN makes use of all opportunties to involve Commission members in policy advocacy	○	○	○	○	○	○
• Regional offices have dedicated staff and resources for strategic influencing	○	○	○	○	○	○

IUCN as a Knowledge Organisation

A Knowledge Organisation uses a range of strategies and practices to identify, create, communicate, and enable adoption of insights and experiences through assumption testing. Such insights and experiences comprise organisational knowledge.
Knowledge is managed to improve organizational performance through innovation and sharing of lessons learned.

For the following statements please indicate if you:

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
Q26. IUCN is clearly managed as a 'Knowledge Organisation'	○	○	○	○	○
Q27. Knowledge is effectively shared within the Union	○	○	○	○	○
Q28. IUCN programmes make effective use of knowledge across the Union	○	○	○	○	○
Q29. IUCN helps to improve the learning capabilities of its members through focused capacity building	○	○	○	○	○

Strengthened Planning, Monitoring and Evaluation and Learning

For the following statements please indicate if you:

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
Q30. Planning, monitoring and evaluation, and learning capacity is well developed throughout IUCN	○	○	○	○	○
Q31. Planning, monitoring and evaluation strongly support learning and accountability within IUCN	○	○	○	○	○

Realignment of the Project Portfolio

Q32. There is clear evidence that the IUCN project portfolio is being realigned to be more focused on strategic influencing, learning, innovation and knowledge management:

○ Strongly Agree ○ Agree ○ Disagree ○ Strongly Disagree ○ Don't Know

Q33. IUCN Currently – Please rate on a scale of 1-6 the following statements which best describe IUCN today (1 = a poor description, 6 = a very good description):

	1	2	3	4	5	6
• An organisation whose potential has yet to be realised	○	○	○	○	○	○
• Consistently of high quality across all its programmes	○	○	○	○	○	○
• Most effective in global conventions such as the CBD, and in convening useful commissions	○	○	○	○	○	○
• The global number one facilitator of cooperation for conservation	○	○	○	○	○	○
• An organisation that has evolved to meet global conservation challenges	○	○	○	○	○	○

Q34. IUCN in the Future – Please rate on a scale of 1-6 the following statements which best describe your vision of how the IUCN should be in the future (1 = a poor description, 6 = a very good description):

	1	2	3	4	5	6
• A leading player in low carbon futures for the planet	○	○	○	○	○	○
• A union less involved in the implementation of field projects and more effective in strategic influencing.	○	○	○	○	○	○
• A union with strong and close links between the Commissions, Members and the Secretariat to develop policy and strategic influencing.	○	○	○	○	○	○
• Able to develop plans for specific global or national policy or procedural reform with clear behavioural indicators	○	○	○	○	○	○
• An effective union that can mobilise the individual and collective strength of its membership at national and international level.	○	○	○	○	○	○
• Facilitating a new breed of national biodiversity action plans with citizen involvement to the level of participatory monitoring and evaluation including rights based approaches	○	○	○	○	○	○
• Have the capacity to monitor and evaluate current and proposed policy reforms in terms of effects on the ground, and use that information to test which pathways are most effective	○	○	○	○	○	○
• Helping others to understand how biodiversity is linked to food security so that they can develop sound policy and procedures	○	○	○	○	○	○
• Proficient at conducting excellent situation analysis at country level of policy or procedural reform necessary to meet specific conservation needs	○	○	○	○	○	○

35. If you could change one thing about the way IUCN functions, or is organised, what would that change be?

Annex 19   Commission Members Survey Analysis

Summary of key points

- ❖ The survey findings reflect a core feature of the way Commissions work: they provide a large pool of voluntary expert knowledge, who may be called on relatively little or for only very specific purposes.
- ❖ The way they interact with the Secretariat and Members leads to them being not well informed about the IUCN programme and portfolio of projects, or of more strategic aspects such as the value proposition, One Programme, theory of change, and developments in planning, monitoring and evaluation.
- ❖ The voluntary nature of their relationship may be a large factor in that, but raises the question as to whether IUCN is realising the potential of their Commission members.
- ❖ The responses indicate that where the secretariat has tried to improve relationships and services, Commission members regard the improvements as relatively modest.
- ❖ Membership of an IUCN Commission is about networking and shared knowledge. It is not seen as a source of funding for researchers nor does it bring influence over policy or IUCN's strategy.
- ❖ IUCN is considered by members of Commissions neither to be very effective at policy influence nor to have managed improvements in influencing capacity effectively.
- ❖ The responses convey positive perceptions about an organisation that has changed to meet new challenges and has proven effectiveness in areas such as the CBD. They are very similar to the findings in the Members' Survey. IUCN is regarded an organisation that does not realise its potential.
- ❖ Commission members (like Members) want to see a more effective use made of the unique feature of IUCN, it's union and membership. This indicates strong support for the concept of 'One Programme', even though many members were clearly not familiar with it.

Purpose of the survey

IUCN, as an environmental network organisation, is comprised of over 1,100 member organisations (the subject of a separate survey) as well as 11,000 individual experts as members of expert Commissions. The Commissions *"shall be networks of expert volunteers entrusted to develop and advance the institutional knowledge and experience and objectives of IUCN"* (IUCN Statutes s. 73).

The Review Team engaged the IUCN's Regional Offices in country to assist in the selection of members of expert Commissions for interview and focus groups during the fieldwork and this forms a core element of information gathered during field visits. But the potential additional value to IUCN of engaging all Commission members through a web survey was identified during the Inception Phase and agreement reached with the External Review Steering Committee

The survey has enabled the Review Team to gather views and information from a much wider sample than would have been possible through face to face or telephone interviews, at modest cost. The survey aimed to be appreciative of IUCN rather than provoke criticism.

Design and content

The survey questionnaire was designed after preliminary meetings in IUCN HQ, and after the first country visit to Ghana, so that experience from those visits would inform question design and phrasing. The questions were developed from three sources:

- The terms of reference for the review
- Progress against recommendations from the 2007 Review
- Internal plans and objectives in the 2009-12 Programme and arrangements for development of planning, monitoring and evaluation

A total of 35 questions were posed, of which the first eight gathered information about the person and their involvement in work of the Commissions. Most questions had closed response categories; two were open-ended, allowing members to comment on issues in their own words.

The survey was administered using 'Survey Monkey' a proprietary web-based survey tool. All responses are anonymous and it is not possible for the survey analysts to trace the source of a specific response. The survey was offered in English, Spanish and French languages.

Response rate

A comprehensive and up-to-date list of members was provided by the Constituency Support Unit. A total of 10,143 people in the six current Commissions were contacted and asked to complete the survey.[9] The survey website was visited by 2,180 respondents in English; 441 in Spanish and 143 in French. These generated 2,764 usable responses as a small number of people reviewed the survey but did not complete it. The usable responses represent 27% of the members contacted.

The table below summarises responses by Commission. It is difficult obtaining accurate numbers of members for each Commission owing to the dynamic and fluctuating nature of membership and active involvement. Internal documentation given to the Review Team lists a total of 11,680 members.[10] The list of names provided for distributing the survey totals 13,107, but after removing duplicate emails and correcting transcription errors, the total number of survey forms distributed was 10,143. Some members belong to more than one Commission. The table lists these numbers and conveys the usable numbers and distribution among the Commissions.

(a)	(b)	(c)	(d)	(e)	(f)	(g)
Commission membership	Reported number	%	Respondents to the survey	%	Reclassified for multiple membership	Reclassified %
CEC	800	7	318	10	251	9
CEESP	730	6	200	6	108	4
CEL	740	6	222	7	194	7
CEM	510	4	102	3	20	1
SSC	7,500	64	1,697	54	1545	56
WCPA	1,400	12	578	19	357	13

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[9] Commission on Education and Communication (CEC); Commission on Environmental, Economic and Social Policy (CEESP); Commission on Environmental Law (CEL); Commission on Ecosystem Management (CEM); Species Survival Commission (SSC); World Commission on Protected Areas (WCPA)

[10] PowerPoint file titled 'IUCN's Commissions' as part of IUCN induction material (doc/External_Review_2011/Documents/corporate_docs/Induction/)

Multiple membership	-	-	-	-	289	10
Totals	11,680	100	3,117	100	2764	100

The response to the survey, not taking multiple membership into account, is shown in columns (d) and (e). Responses over-represent membership of CEC and WCPA and under-represent membership of the SSC. After reallocating multiple membership to a new category (to avoid double-counting responses) the over- and under-representation is reduced. But the reclassification has a marked effect on responses for CEM, which as a result is under-represented and has few respondents, and lesser but still substantial effects on CEESP and WCPA. It appears that much smaller proportions of the members of the CEC, CEL and SSC are also members of other Commissions. Some 10% of the usable sample are members of more than one Commission. The small number of respondents who are only members of CEM make the results for that Commission somewhat less reliable compared with the other Commissions so are rarely quoted in the analysis that follows.

Responses to the questions

The basic data are set out in the pages following this text. Each table shows the question number and question text, the responses as a percentage and the actual number of responses. Total responses vary from question to question.

Representativeness of the responses

Questions 1 to 4 enquire about the nature of the respondent's Commission membership. Distribution of members among the Commissions has been described above. The vast majority of Commission members belong to organisations (question 1): around 90% for all. NGO's are most common for members of CEC, CEESP and people belonging to multiple Commissions. Research organisations are most common for EL and the SSC, and government agencies for the WCPA.

Respondents are mostly relatively recent members of Commissions: of those who could remember the year, 70% joined during or after the year 2000; 22% joined during the 1990's and the remainder before then, with four respondents dating back to the 1960s.

Current and previous involvement as a Commission member

Respondents were asked (question 5) if they were currently actively engaged in any specific work for a Commission and if not, whether they had ever been engaged on previous occasions (question 6). A total of 1,000 members responded about current work (36%) and 1,271 about previous work (46%) implying that 18% of members have not yet undertaken any specific tasks in their role.

Taking current activity first, of the tasks listed, the highest percentage listed was 22% for providing information in response to a specific enquiry. Next was preparing to attend a conference, workshop or meeting at 17%. All the other categories offered, such as drafting or commenting on a paper, conducting a programme of research, preparing training materials or commenting on a policy note had been undertaken by 14% or fewer, and in many instances as few as 5%. Members of more than one Commission responded most frequently to every task listed.

For those not currently active but who had undertaken work in the past, percentages were higher, but the distribution similar: most members had been called on to provide information in response to a specific enquiry (36%); next most frequent were commenting on a draft paper or report; and preparing to attend a conference, workshop or meeting, both at 28%. Responses vary among the different Commissions but with no clear pattern.

These findings reflect a core feature of the way Commissions work: they provide a large pool of voluntary expert knowledge, who may be called on relatively little or for only very specific purposes.

A little more than half of responding members say they are currently participating in some IUCN programmes or projects; though majority responses from CEC, CEESP, CEL and WCPA are from people not working on any projects.

Overall, one quarter of respondents say they are personally involved with an IUCN national or regional committee. Involvement was most frequent among members of the WCPA at 36%.

Membership and the value proposition

A little over half (54%) agree they are familiar with the content of the IUCN 2009-12 Programme (question 9). A substantial proportion, 32% disagree and are not familiar; and a further 15% say they don't know, which can be interpreted as a 'soft' version of disagree.

Some 46% agree that The IUCN 'Value Proposition' clearly shows the unique selling point of IUCN and gives focus to the organisation (question 10) but a staggering 44% say they don't know, with the highest proportions among the CEESP, CEL and SSC.

Overall, 50% of respondents agree or strongly agree that since 2009, IUCN has become much better at engaging members in delivering programme results; a further 32% don't know, and this rises to 42% for members of CEESP.

Taken together, these responses suggest that members of Commissions are not, in general, familiar with some strategic aspects of IUCN, such as the programme document and value proposition. The voluntary nature of their relationship may be a large factor in that, but raises the question as to whether IUCN is realising the potential of their Commission members.

In question 12, information was gathered about the way changes have developed in the relationship between the Secretariat and Commission members. Members were asked to rate on a scale of 1 to 6 where 1 is no improvement and 6 is extensive improvement:

- f) Communications from Secretariat to Commission members
- g) Links between Commissions and Members
- h) Clearer benefits and responsibilities of Commission members
- i) Communication between Commission members
- j) More efficient and effective services from the Secretariat

The distribution of responses peaks with a modal class of 4 for a) and b) and then reduces to 3 for c), d) and e). The responses indicate that where the secretariat has tried to improve relationships and services, Commission members regard the improvements as relatively modest.

Role of the Secretariat towards Members

When asked about their views on the relative importance of different roles of the Secretariat, stronger findings emerge in question 13. Ratings of 5 or 6, indicating high importance, were given by 43% to 58% for the four roles:

- e) Providing direct member services such as publications, advice, and facilitating communications and links between members
- f) Providing technical leadership in areas of conservation
- g) Obtaining funds for and implementing a large portfolio of conservation-related projects and programmes
- h) Influencing global, regional and national conservation policies

The highest responses were for a) and d) and the lowest for b) and c), which closely echoes the response to the same question in the Members' Survey.

Commission membership

In question 14, members of Commissions were asked whether they benefitted more or less than they contributed from membership. The majority response (55%) was that members benefitted and contributed more or less equally. But some exceptions arose, with 36% of CEESP and 31% of WCPA members thinking they benefit more than they contribute.

Commission members were asked in question 15 to rate the value they gain from membership on a scale of 1-6 (1= low value, 6 = high value) against six types of benefit.

The most important was connections to peers and other researchers working in the same field. Second was the access to the latest knowledge and best practice that membership brought; followed by benefits from the prestige and brand value from IUCN. All were rated strongly at 4, 5 and 6.

By comparison, the ability to influence policy and bring about behavioural change among policymakers received relatively low values, spread across 1 to 4; the ability to engage and influence the strategic direction of IUCN was predominantly rated 1 to 3; and the access to financial resources to fund research interests and attend events was rated 1 or 2 by 65% of respondents.

Membership of an IUCN Commission is about networking and shared knowledge far more than engaging in or influencing policy. It is not seen as a source of funding for researchers.

Strategy and planning coherence

Questions 16 to 20 examine Commission members understanding of and perceptions about IUCN's strategy planning and planning coherence. When asked if they agreed or disagreed, 63% of respondents agreed or strongly agreed that IUCN's work now demonstrates better integration and understanding of the complex interface between the environmental, economic and socio-cultural components of sustainable development. 55% believe that IUCN's current strategies and programmatic approach have brought a greatly sharpened focus to the organisation. Somewhat lower majorities of 52% and 40% respectively agree or strongly agree that IUCN's organisational structure is well suited to its objectives and the IUCN's work in their (the member's) country is well aligned with the priority biodiversity and conservation needs of the country. Between 22% and 31% of respondents answered 'don't know' to these questions with the highest among members of the CEESP.

During the 2009-12 Programme period, the adoption of the 'One Programme' concept has been a major initiative by the Secretariat. Responding to question 20, 46% of Commission members thought (correctly) that the core feature of the One Programme is '*Active involvement, synergies and joint actions among the Union's three constituent parts: (1) Members; (2) network of experts in the Commissions; and (3) Secretariat*'. At less than than half, this is a low percentage for an initiative that is so central to IUCN's strategy.

Aspects of effectiveness

The survey examined Members' views of effectiveness in two ways. Firstly, (Q21) by asking whether Commission members agreed that IUCN has successfully integrated a theory of change perspective into situation analysis, programme and project planning, and monitoring and evaluation. Secondly, (Q22, Q23) by asking about members views on IUCN effectiveness at engaging with policy/law makers in their country and their region, as evidenced by real effects on the ground.

The theory of change question was inserted because the 2007 Review put emphasis on clearer development and articulation of theory of change. Some 47% agreed about theory of change; but 40% said they did not know.

A majority of Members (44% and 37% respectively) disagreed or strongly disagreed that IUCN is effective at engaging with policy/law makers in their country and their region. Significantly, minorities of 24% and 27% said they didn't know.

Capacity for influence

Following on from Questions 22 and 23 about effectiveness of policy influence, Questions 24 and 25 explore IUCN's adoption of methods for improved communication and progress in areas where IUCN has been effective in supporting capacity for influence.

Seventy one per cent of all Commission members responding agree or strongly agree that IUCN has adopted methods that provide better communication of important conservation messages.

In response to a question asking members to rate improvements in the following four areas (1=no improvement, 6=extensive improvement) fairly consistent replies were received:

e) Clear roles and responsibilities for national and regional committees in policy/law and regulatory influencing
f) IUCN objectives that aim to influence policy are well coordinated and prioritized across the Union
g) IUCN has conducted an effective capacity development programme for members
h) Regional offices have dedicated staff and resources for strategic influencing

For three actions (a, c, and d), the main response was for ratings 2 and 3 conveying a message that Commission members perceive improvements to have been slight. Responses to action b were clustered slightly higher around ratings 3 and 4.

IUCN is considered by members of Commission neither to be effective at policy influence nor to have managed improvements in influencing capacity effectively.

IUCN as a knowledge organisation

Most members (72%) agree with the statement that IUCN is clearly managed as a knowledge organisation – question 26. That proportion falls when asked whether knowledge is effectively shared within the Union (65%) – question 27; and whether IUCN programmes make effective use of knowledge across the Union (55%) – question 28. In all three questions, significant minorities reported they 'don't know'.

Opinions were much more divided as to whether IUCN helps to improve the learning capabilities of its members through focused capacity building – question 29. A total of 47% agreed or strongly agreed; whilst 29% disagreed or strongly disagreed. The remainder responded as 'don't know'.

Planning, monitoring and evaluation

Planning, monitoring and evaluation have been promoted as core areas to strengthen the quality and focus of IUCN's portfolio and to support learning within the organisation. Two questions examined capacity development and the link with learning. The results are summarised here.

	Agree	Disagree	Don't know
30. Planning, monitoring and evaluation, and learning capacity is well developed throughout IUCN	46%	21%	32%
31. Planning, monitoring and evaluation strongly support learning and accountability within IUCN	43%	20%	36%

Most members agree that capacity is well developed and that PM&E support learning and accountability. But the majorities are small and the proportion responding 'don't know' is high.

The portfolio – IUCN as a whole

In question 32, Commission members were asked if they agreed that there is clear evidence that the IUCN project portfolio is being realigned to be more focused on strategic influencing, learning, innovation and knowledge management: 47% agreed or strongly agreed, but 42% reported that they did not know.

The last two questions, 33 and 34 asked Commission members to take a broad view of IUCN as a whole and rate the Union as it stands today and as they would like to see it in the future, against a number of statements. These are shown in the tables below, to illustrate the range of responses.

IUCN CURRENTLY - please rate on a scale of 1-6 the following statements which best describe IUCN today (1=poor description, 6=very good description)

Rating 1-6	1&2	3&4	5&6
33a) An organisation that has evolved to meet global conservation challenges	11%	45%	44%
33b) Consistently of high quality across all its programmes	16%	54%	29%
33c) The global number one facilitator of cooperation for conservation	15%	44%	41%
33d) Most effective in global conventions such as the CBD, and in convening useful commissions	10%	46%	45%
33e) An organisation whose potential has yet to be realised	13%	38%	49%

The responses convey positive perceptions about an organisation that has changed to meet new challenges and has proven effectiveness in areas such as the CBD. They are very similar to the findings in the Members' Survey. But it is an organisation that does not realise its potential. Consistency of high quality received only a 'moderate' score of 3-4 and opinions were mixed about IUCN's unique role as a facilitator of cooperation for conservation.

IUCN in the FUTURE - please rate on a scale of 1-6 the following statements which best describe your vision of how the IUCN should be in the future (1=poor description, 6=very good description)

Rating 1-6	1&2	3&4	5&6
34a) An effective union that can mobilise the individual and collective strength of its membership at national and international level	6%	26%	69%
34b) A union with strong and close links between the commissions, members and the secretariat to develop policy and strategic influencing	7%	29%	64%
34c) A union less involved in the implementation of field projects and more effective in strategic influencing	20%	40%	38%
34d) Proficient at conducting excellent situation analysis at country level of policy or procedural reform necessary to meet specific conservation needs	10%	35%	55%
34e) Able to develop plans for specific global or national policy or procedural	8%	36%	56%

Rating 1-6	1&2	3&4	5&6
reform with clear behavioural indicators			
34f) Have the capacity to monitor and evaluate current and proposed policy reforms in terms of effects on the ground, and use that information to test which pathways are most effective	7%	36%	56%
34g) Helping others to understand how biodiversity is linked to food security so that they can develop sound policy and procedures	10%	35%	55%
34h) Facilitating a new breed of national biodiversity action plans with citizen involvement to the level of participatory monitoring and evaluation including rights based approaches	11%	36%	54%
34i) A leading player in low carbon futures for the planet	21%	40%	39%

Amongst the generally positive responses to these descriptions two points emerge:

- Commission members (like Members) want to see a more effective use made of the unique feature of IUCN, it's union and membership. This indicates strong support for the concept of 'One Programme', even though many members were clearly not familiar with it (see responses to question 20).
- Two statements received less than 50% support at ratings 5 and 6 and more than 10% for 1-2. The tension between being a field project organisation and being a policy influencer remains, with only modest support for shifting out of projects. Like the Members but more firmly, many members of Commissions are not convinced IUCN should prioritise becoming a leading player in low carbon futures.