



**IUCN**



**Shell International BV**

**Review of the collaborative partnership agreement  
between Shell International and IUCN**

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**22 June 2010.**

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## **Preface**

This is the report of a mid-term review of the collaborative partnership agreement between Shell International and IUCN, commissioned by the two organisations for presentation to the partnership Steering Committee.

I wish to thank IUCN and Shell for this interesting assignment, and especially to thank all those informants and questionnaire respondents who generously took the time to provide information and opinions about the progress of the partnership. I hope that the report will prove useful in enhancing the efficiency and effectiveness of the partnership and helping the partners to achieve their joint objectives.

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22 June, 2010.

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## Abbreviations

BAP	Biodiversity Action Plan
BBP	Business and Biodiversity Programme
BV	besloten vennootschap (private limited company)
DDG	Deputy Director General
EBI	Energy and Biodiversity Initiative
FTE	full time equivalent
IPIECA	International Petroleum Industry Environmental Conservation Association
IUCN	International Union for Conservation of Nature
NA	not applicable
nd	not dated
RM	Relationship Manager
ROMO	Regional Ocean Management Organisation
TNC	The Nature Conservancy
TOR	terms of reference
WI	Wetlands International

## Summary and recommendations

Shell International BV ('Shell') and IUCN (the International Union for Conservation of Nature) signed a five year collaborative partnership agreement in October, 2007. Both organisations have adopted partnerships as a strategy to help achieve their objectives. Shell has partnerships with other environmental organisations, and IUCN has developed similar links with a number of companies. Half way through the current Shell-IUCN partnership agreement, its Steering Committee has commissioned this review of progress (section 1.4). It is based on a review of documentation, interviews with key informants and a questionnaire survey that was distributed to a larger group (section 1.5). A summary assessment of the partnership is presented in chapter 6, which includes application of a generic partnership assessment tool (section 6.5).

Review of the two organisations' statements of policy and strategy confirms that the collaborative partnership is **relevant** to both IUCN and Shell (chapter 2). This is the objective dimension of relevance. Subjectively, those involved with the partnership on the Shell side are mostly confident that it is relevant to the company's objectives and strategy, but also uncertain that there is clarity in the company about the value of the partnership. There is more ambivalence in IUCN about the relevance of the partnership with Shell. Such relationships with business are the most controversial area of IUCN's operations. The Shell partnership is strongly opposed by some in IUCN's constituency. This creates a dilemma: the types of activity on which the partners have chosen to focus much of their effort will yield mid- to long-term outcomes, and it takes time to build an appropriate process of partnership between such different organisations. Yet IUCN must demonstrate successful short-term results if the partnership is to remain politically defensible – notably at the next World Conservation Congress in September 2012.

There has been positive learning together as the partners strengthen their relationship. Progress has been made along what could be a long journey together. Expectations of **effectiveness** have proved too optimistic (chapter 3). It is of course unrealistic to expect the achievement of significant conservation outcomes in two and a half years. There has been good, tangible progress in some joint activities – notably biofuels work and a review of Shell Biodiversity Action Plans by the IUCN staff member seconded to Shell through the partnership (sections 3.2, 3.4). Some smaller inputs of IUCN expertise have also been successful. But progress with most of the selected partnership activities has been slower than planned. Other envisaged activities, notably a Business Academy for Conservation, have been dropped for various reasons. The intended support by Shell to the enhancement of business procedures and practice in IUCN has been fragmented and inconclusive. There has been minimal engagement with IUCN regional or country offices, with Members or Commissions, and with Shell's businesses at country level. Progress towards achievement of the partnership's three very broadly worded objectives has been limited (section 3.3).

### Recommendation 1

While recognising the political necessity of ensuring demonstrable beneficial outputs by 2012, IUCN and Shell should ensure that intensified external communications on the partnership stress the long-term challenges and opportunities implicit in building joint programmes that meet the two organisations' objectives.

Despite the slow and uneven progress, the partners have developed a **better understanding** of each other's capacity, values and procedures and have taken some useful steps along the road towards their objectives (section 3.4). Interactions at senior management level have steadily developed, as has the feeling of joint commitment and mutual confidence among the partners' top leaders. While the intended conservation outcomes of the partnership are understandably slow in emerging, the process outcomes at these levels are encouraging. The two secondments have also helped to build mutual understanding between the partners. The major reorganisations of the IUCN Secretariat and of management structures and positions in

Shell International were a significant constraint. Especially in Shell, they dispersed some of the understanding and familiarity that were starting to develop. Several in key positions there are relatively new to the relationship.

### **Recommendation 2**

While recognising the need to expedite joint project development and implementation, the partners should ensure that as much as possible of the time of the new Shell secondment to IUCN is devoted to broader support to the IUCN Business and Biodiversity Programme and the Economy and Environmental Governance Group of which it is part.

The partnership's **Steering Committee** has been broadly effective in monitoring and directing the progress of the partnership, although it has done this in a less structured way than was intended (section 4.2). It has not developed the systematic monitoring indicators and review procedures that were anticipated by its terms of reference. The indicators that were developed do not appear to have been useful in enhancing performance of the partnership at operational and strategic levels (section 4.3).

### **Recommendation 3**

The partners should develop a full set of performance indicators that allows for measurement and reporting of performance in the short, medium and long term at both output and outcome levels.

### **Recommendation 4**

The Relationship Managers should report annually to the Steering Committee on partnership performance in terms of these indicators.

### **Recommendation 5**

The Steering Committee should undertake a formal review of the Relationship Managers' monitoring report at one of its meetings each year.

### **Recommendation 6**

Each seconded staff member should make an annual presentation to the Steering Committee on activities, achievements and constraints.

The two **Relationship Managers** have uneven responsibilities (section 4.4). Shell's overloaded RM has far less time available for the partnership than his IUCN counterpart. Both RMs are criticised for inadequate communication of the partnership, and of operational information about it, within their respective organisations.

### **Recommendation 7**

Shell should adjust the work load of its Relationship Manager and provide him with adequate administrative support in order to ensure that his functions regarding the partnership with IUCN are adequately fulfilled.

The parties have not made satisfactory progress in driving the selected joint projects forward through their two bureaucracies, whose compounded complexities have proved a significant constraint on progress. Numerous logistical, bureaucratic and legal obstacles have combined to make the **operational efficiency** of the partnership unsatisfactory (section 5.4).

Although not adequately understood by all participants, the **funding model** for the partnership is appropriate (section 5.1). If successfully incubated through the base programme budget, joint activities may then be funded by the relevant company in the Shell group. However, the portion of the base programme budget available for joint activities (as opposed to staff costs) is so small that some IUCN staff



have found engagement unattractive. A majority of participants appear to believe that the partnership is operating **cost effectively**, although there are dissenting views (section 5.1).

The partnership's efficiency is compromised by incomplete **clarity** about its scope, character and mode of operations (section 5.2). Significant numbers of apparently key managers in Shell have so far had limited (or even no) knowledge about it. In IUCN, political opposition and strategic ambivalence in some quarters cloud the organisation's overall commitment and efficiency in working towards the partnership's objectives.

These problems are partly a function of inadequate **communication** within and about the partnership (section 5.3). Not only are staff of the partners incompletely informed about it; IUCN, in particular, is not proactive enough about communicating the character, purpose, achievements and constraints of the partnership to its constituency and beyond.

#### **Recommendation 8**

The RMs should communicate more actively within their respective organisations about the purpose, structure, activities and performance of the partnership.

#### **Recommendation 9**

Through fuller and more regularly updated material on its website, the IUCN Secretariat should communicate more proactively with its Council, Members, Commissions and broader constituency about the purpose, structure, activities and performance of the partnership, giving greater detail about the rationale, intentions and achievements while ensuring full transparency about the constraints and concerns.

The IUCN-Shell partnership should comprise **three modes of collaboration** (section 6.1). So far, these three types of activity have shown differing rates of progress.

- Joint **project** outputs and outcomes have been limited. Expectations were unrealistic in this regard. Little has been done so far to exploit the strong potential for regional and country level collaboration.
- Between 2008 and 2010, work by the two **seconded staff** has constituted a major part of the partnership's output – although this is not always recognised.
- There has been insufficient **high level strategic collaboration**. This is the mode of collaboration through which these partners can make the most important contribution to each other and to a sustainable future for humanity. So far there has been little structure or direction in this regard, although there are increasingly cordial and frequent interactions between the partners' top management. Shell and IUCN should be collaborating more closely and systematically in exploring future scenarios for issues like climate change and viable energy strategies for the 21st century.

The key **way forward** for this partnership is defined by the political realities surrounding IUCN's participation in it (section 6.6). Effort must focus on achieving demonstrable outputs that help to meet the objectives of both partners by early 2012, when the shape of debates at that year's World Conservation Congress starts to be determined through the preliminary formulation of the motions that will be put forward. If this cannot be achieved, the IUCN Secretariat may not be able to continue the partnership beyond its current five year term.

At the same time, the partners must focus on moulding and managing expectations about what can be achieved in five years, while striving to build the trust and transparency they will need to convince an uncertain IUCN constituency that the partnership deserves a future. To this end, they must invest more

systematic effort in building and driving the mutual understanding and joint commitment on which an effective partnership will depend.

#### **Recommendation 10**

Activities on which an intensified drive for delivery should focus include:

- reinforcement of existing achievements on Shell's Biodiversity Action Plans, and demonstration by the company of the difference these make to its impact on nature;
- continuing progress in the biofuels sector, with specific agreement now by the partners about what measurable and demonstrable outcomes they will have achieved by early 2012;
- achievement of the proposed strategic impact assessment in the Arctic, and Shell response to this study indicating what beneficial results the assessment is likely to have;
- launch of and initial outputs from the Arctic Regional Ocean Management Organisation exercise, with communications from both partners explaining the practical benefits for the Arctic environment.

#### **Recommendation 11**

The partners should plan to produce a clearly structured public report in early 2012 that demonstrates the progress achieved by the partnership while also providing a candid statement of the setbacks, constraints and lessons identified in the joint experience up to that time. Such a report should provide the basis for transparent decision making and debate in IUCN about the future of the partnership.

#### **Recommendation 12**

The Relationship Managers should develop a structured work plan and budget for a 12 month programme of business skills transfer by Shell specialists to IUCN Secretariat staff at headquarters and in selected regional offices, for implementation during 2011.

#### **Recommendation 13**

Joint activities should be set up at regional and/or country levels. The planned development of partnership activities between Shell and the IUCN Asia Regional Office, and potentially at country level in that region, should be expedited. Opportunities for similar collaboration should be sought actively in other parts of the world. Such regional or national level work should include secondments and joint projects. It should address broad, longer-term themes and scenarios, not localised or site-specific issues. In all cases, exploration of links at these levels should proceed in full consultation with IUCN Members.

#### **Recommendation 14**

The partners should develop structured engagement on 21<sup>st</sup> century scenarios. The partnership should be able to demonstrate that IUCN is actively and constructively involved in Shell's thinking about the future of energy, climate and natural resources and its own impact on nature. This will help to legitimate it from the IUCN perspective and create a clear business advantage from the Shell perspective.

## 1. Introduction

### 1.1. Background

Shell International BV (referred to hereafter as 'Shell') and IUCN (the International Union for Conservation of Nature) signed a five year collaborative partnership agreement on 5 October, 2007. This was the latest milestone in their joint activities – part of a growing commitment by Shell to address the environmental impacts of its operations, and by IUCN to engage with the private sector in general and extractive industries in particular. The two organisations had been working together since the late 1990s, notably through the Energy and Biodiversity Initiative in which they participated with three other oil companies and four other environmental bodies between 2001 and 2007 (EBI, 2010). An IUCN staff member was seconded to Shell in London from 2001 to 2003. There was a reverse secondment from Shell to the IUCN Business and Biodiversity Programme (BBP) at its headquarters in Gland between 2004 and 2007.

Both IUCN and Shell have other links with the private sector and environmental organisations respectively. IUCN's links include partnerships with Holcim and Danone (the latter jointly with the Ramsar Convention), the development of a relationship with Rio Tinto and ongoing dialogue with the World Business Council for Sustainable Development and the International Council on Mining and Metals. Shell also has global collaborative partnership agreements with Wetlands International (WI) and The Nature Conservancy (TNC), as well as links with over 100 scientific and conservation organisations around the world (Shell, 2010a).

The Shell-IUCN partnership is governed by a Steering Committee, comprising four members from each organisation. Day to day co-ordination is the responsibility of two Relationship Managers (RMs). The Shell RM, as Manager, Environmental Partnerships, handles the company's links with WI and TNC as well. The IUCN RM, funded by Shell through the partnership agreement, devotes most of his time to this partnership, although he has some other responsibilities within the BBP.

Shell International underwent a major reorganisation in 2009. Many senior staff have changed positions over the last 18 months, and there was inevitably some disruption to the company's operations during the transition period. Several people with key management responsibility for the partnership have only been in their new positions for a few months. The IUCN Secretariat, too, has seen significant restructuring since this partnership agreement was signed, as well as a change in the management of the BBP. A further disruption arose during the quadrennial World Conservation Congress in 2008 – always a major drain on IUCN energy and resources – when a resolution was tabled calling for termination of the partnership with Shell. This prominent symbol of ongoing disquiet among some IUCN Members about private sector engagement led to intensive controversy and debate before and during the Congress. However, the resolution was not adopted.

### 1.2. Objectives and scope of the partnership

The partnership agreement states that

*The overall objectives of the collaboration will be to enhance biodiversity conservation performance by Shell and its Affiliates as a measure of their sustained profitable operations, to raise biodiversity performance standard [sic] in the energy sector and its supply chain, and to strengthen IUCN capacity for leadership in business and biodiversity.*

*The Parties shall endeavour to demonstrate joint leadership in the business and conservation sectors and use their combined comparative advantages, namely, convening power, global reach and spread as well as geo-political influence to leverage positive change for biodiversity conservation. Particularly the Parties shall endeavour to add value to each other's organisations and ensure that:*

- i. *Shell has the strategies, approaches and tools that will be necessary for the Shell Group to be the conservation leader in the energy sector and sustain profitable operations over the long term;*
- ii. *IUCN and the broader conservation community has capacity and business skills, access to resources, and influence necessary to achieve a significant reduction in the loss of biodiversity; and*
- iii. *Shell and IUCN together will substantively contribute to changing the policy arena, both public and corporate, such that the world's biodiversity is better conserved and sustainably used by energy businesses working to industry best practice levels and standards of conservation.*

IUCN and Shell, 2007: 1.

### 1.3. Activities to date

As part of the partnership agreement, another Shell staff member was seconded to IUCN from February 2008 to March 2010. She was replaced in April by the first person to be seconded to Gland, now back for a further period at IUCN that is expected to last for the rest of the current partnership period. An IUCN staff member was seconded to Shell in The Hague in August 2008, and is now expected to work with the company until mid 2011.

The 'modalities and form of collaboration' set out in the agreement were expected to fall into three work streams:

- i. Development of conservation and related policies, approaches and tools that have potential sector-wide influence and application to the energy sector;
- ii. IUCN providing technical assistance and advice in respect of biodiversity conservation to the Shell Group on some of its key projects as Shell and IUCN may agree in each specific instance; and
- iii. Shell providing institutional and project support to IUCN in the areas of business engagement, business skills and business process development.

IUCN and Shell, 2007: 2.

At a planning meeting in November 2007, the parties agreed on four modes of joint activity.

1. The **base work programme** would consist of small scale activities, funded from the annual partnership budget contributed by Shell. These small projects would address issues of mutual interest and form the basis for consolidating ongoing working relations between the two parties. They would also serve as pilot or scoping exercises for potentially larger exercises that Shell businesses would fund separately within their respective work programmes and budgets.
2. **Level 1** activities would involve senior executive interaction, sometimes *ad hoc* and sometimes within regular structured meetings such as the annual one at Davos, where the IUCN Director General has met the Shell Chief Executive Officer. Building on the increasing trust between Shell and IUCN at this top management level, Level 1 work could feed back into requests to the Steering Committee to develop more specific activities within the base programme or at Levels 2 or 3.
3. **Level 2** work would comprise projects and tasks that, as indicated above, constitute real business opportunities for companies within the Shell Group and would therefore be funded from their respective budgets over multiannual periods.
4. **Level 3** activities would be special studies or projects on issues of general interest to the two parties and would also be funded over and above the base programme budget.

In the programme of joint activities that has emerged since 2007, there is a clear distinction between the smaller-scale projects that have been funded from the partnership budget (the 'base work programme')

and some larger, Level 2 or 3 initiatives that are still mostly at the preparatory stage. Level 1 type interactions between the senior executives have also occurred, including the IUCN Director General's visit to some of Shell's Nigerian operations in 2009, her meeting with the company's Exploration and Production Leadership Team, and the Deputy Director General's presentation to Shell Country Chairs.

Not surprisingly, some of the base programme activities launched since 2007 have not proved rewarding or were of short duration and are now complete. Reference will be made to some of these in the analysis below. The major activities that have emerged through the partnership are as follows.

- There has been a series of interactions about a possible IUCN role in development of strategy and techniques for **decommissioning oil and gas platforms in the North Sea**. This included initial scoping work in 2009 funded from the base programme as the preliminary phase of a Living North Sea project. The energy industry association for the North Sea will play a major role in the first main phase of the project (Level 2, funded by Shell Europe), with inputs also planned from IUCN.
- There have been long negotiations about a joint effort to undertake a **strategic impact assessment of energy resource exploitation in the Arctic**. An IUCN consultant is likely to undertake this study (Level 2).
- Also in the **Arctic**, the two parties are exploring the concept of joint work to promote a **Regional Ocean Management Organisation (ROMO)**.
- More tangible progress has been made in the field of **biofuels**. Here, IUCN and Shell specialists have worked together through a series of meetings to clarify and enhance global approaches to sustainable biofuels, for example by analysing supply chains and studying the impact of biofuel production on biodiversity. This work is now funded mainly by the responsible company in the Shell group, so that this activity can now be categorised as Level 2.

In addition to these emerging focus areas of partnership effort, there have been some *ad hoc* applications of IUCN expertise to local operational problems faced by Shell, such as bears and elephants at sites in Russia and Gabon respectively. In a different dimension, there have been some inputs by Shell staff to help upgrade IUCN business procedures and systems, and the company made advisory inputs during the green certification of IUCN's new headquarters building. As will be explained below, Shell advised against the original idea of an IUCN Business Academy for Conservation and it was ultimately decided not to proceed with the project.

The two secondments are funded from the base programme budget. They have made substantial contributions to their host organisations and to the partnership.

- The current **IUCN secondment to Shell** has made a significant input through a review of the company's **Biodiversity Action Plans (BAPs)**. Other work has included inputs to the company's assurance and control framework and a wide range of technical, advisory services on business and biodiversity issues from the head office and in the field, currently as part of the global sensitive areas team.
- The recently completed **Shell secondment to IUCN** involved a wide range of inputs to the BBP. These included preparation of guidelines and an online tool for IUCN engagement with the private sector; facilitation of IUCN's Business Week; assistance with the BBP e-newsletter; and capacity building with IUCN regional offices on business and biodiversity.

#### **1.4. Terms of reference**

The terms of reference (TOR) of the partnership Steering Committee include arranging 'a mid-term external review of the collaboration to evaluate as [sic] to what extent its objectives are being met, and decide on

course correction as might be warranted' (IUCN and Shell, 2009: 2). The Steering Committee has therefore commissioned this review. Its TOR (Annex 1) describe its objectives as follows.

1. To assess the relevance and rationale of the partnership.
2. To assess the effectiveness and effects of the programming of the partnership.
3. To assess the effectiveness of the management, leadership and governance of the partnership.
4. To assess the cost effectiveness of the partnership.
5. To identify the current factors that support and hinder the fulfilment of the partnership agreement.
6. To suggest improvements to improve the performance of the partnership and any necessary decisions on 'course correction'.

### 1.5. Methods used

The review consultant submitted an inception report on 11 March 2010, setting out the proposed methodology in response to a review matrix that had been finalised, largely by the IUCN Office of Programme Cycle Management, in the early weeks of the assignment (Annex 2). Review methods have comprised:

- interviews with 29 key informants (Annex 3);
- review of documentation;
- an online questionnaire survey (Annexes 4 and 5), which was sent to a longer list of 52 informants, 32 of whom (62%) responded;
- review and application of generic partnership assessment tools (section 6.5).

The partnership agreement says that 'Shell and IUCN will define a set of agreed output and outcome indicators' that the Steering Committee would use for annual reviews of the 'performance of the relationship against the agreed objectives and indicators' (IUCN and Shell, 2007: 2). Only a brief statement of indicators was generated (see box), and annual reviews of the kind envisaged have not taken place. As was indicated in the inception report, there have been fewer tangible outputs up to this stage of the partnership than had been anticipated, 'and... this review will have to focus on the quality of the partnership to date more than on the specific outputs and their impact on the partners' performance'.

<b>Indicators for assessing the progress of the Shell IUCN partnership</b>
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|--|
| <ol style="list-style-type: none"><li>1. Number of engagements that through impact on early design, enhance the biodiversity conservation performance of Shell project activities;</li><li>2. Decisions influenced that improve energy industry standards;</li><li>3. Number of engagements of the partnership in business and conservation sectors that leverage positive change for biodiversity conservation;</li><li>4. Stakeholder perceptions of Shell and IUCN leadership in their respective fields.</li></ol> |
|--|

A draft review report was submitted on 23 May 2010, and presented to a meeting of the partnership Steering Committee in The Hague on 11 June. This final report takes into account the comments received on the draft. It makes a number of recommendations. Each recommendation is placed at the end of the section of the report from which it arises.

## 2. Relevance

### 2.1. Introduction

The principal question about relevance and rationale in the review matrix (Annex 2) asks ‘to what extent is the collaborative partnership still relevant to both IUCN and Shell?’ There are objective and subjective dimensions to the concept of relevance in this case. Objectively, as the first sub-question in the matrix says, it is a question of whether the intentions and strategic concept of the partnership still match the stated objectives and priorities of the two organisations. Subjectively – and more significantly – it is a matter of how relevant the personnel on the two sides perceive the partnership to be – assuming that they are clearly informed about it.

### 2.2. Shell

Partnership with organisations like IUCN is clearly relevant to Shell’s stated environmental and sustainability strategy. For example, the company’s introductory web page on environment states that ‘advanced technology, new ways of operating and partnerships are helping to manage our environmental impact’. The website goes on to explain that ‘by collaborating with organisations around the world, we are able to use expert advice in shaping our efforts to help conserve biodiversity’. With specific reference to

Shell’s global collaborative partnership agreements with IUCN, WI and TNC, it says that ‘the partnerships support increased biodiversity conservation in the energy sector and help businesses like ours collaborate more closely with biodiversity experts’ (Shell, 2010c).

Individual staff perceptions confirm this strategy and the relevance of the IUCN partnership to the company’s objectives. As one senior manager put it, there has been increasing recognition in the company that its activities could be made more environmentally robust through engagement with some key stakeholders. As a strong believer in diversity, Shell sees the relevance of getting different angles and views on its core challenges, one of which, it now acknowledges, is environmental impact. Moving from *ad hoc* contacts with such organisations to more structured relationships is seen as a sound business move which will reduce costs later. From another perspective, challenging Shell staff to engage with a very different kind of organisation, understand it and work

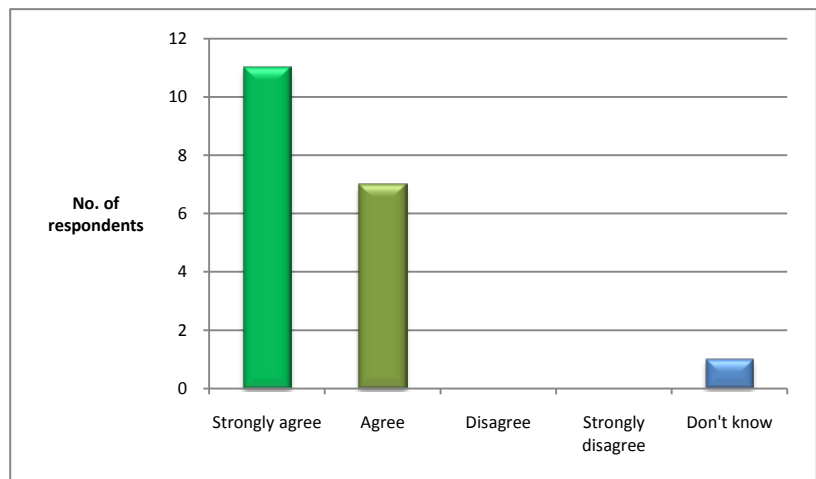


Figure 1. Shell respondents: 'The IUCN-Shell partnership is relevant to the objectives of Shell'

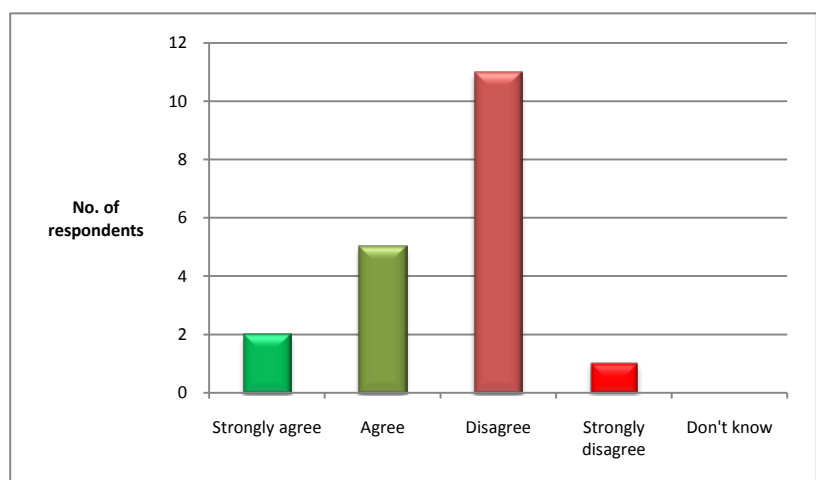


Figure 2. Shell respondents: 'There is clarity in Shell about the value of this partnership'

with it is seen as a valuable way of building their resourcefulness and versatility.

Figure 1 above, showing responses to the online questionnaire survey (Annex 4), suggests little ambiguity about Shell staff's perceptions of this partnership as relevant to the company's objectives.

But only a minority of this respondent group felt that there was clarity in Shell about the value of the partnership (Figure 2), and 12 of the 19 respondents felt that 'this partnership is vulnerable to apathy within Shell'. Indeed, five of them felt that 'this partnership is vulnerable to opposition within Shell'. The overall strength of the company's commitment to the partnership as a relevant strategy is presumably tempered by this broader lack of clarity and, in some cases, apathy or opposition. In fact, there are mixed views among Shell respondents as to whether the partnership would be created now if it did not exist. Some feel that much the same benefits could be obtained from project by project collaborations with various NGOs. Others stress the longer-term value of building up solid relations with selected partners through a more structured agreement.

### 2.3. IUCN

Four years after the Union's founding, an IUCN resolution of 1952 called for co-operation with the private sector (Voorhies, nd). More recent efforts by the Business and Biodiversity Programme are rooted in the resolution of the 1996 Montreal World Conservation Congress that urged Members and the Director General 'to expand dialogue and productive relationships with the private sector' (IUCN, 2009: 5). This process is now driven by the 2004 Private Sector Strategy (IUCN, 2004) and the 2009 Operational Guidelines for Private Sector Engagement (IUCN, 2009). The strategy emphasises the need to focus on 'those business sectors in which change is most important and urgent, due to the scale of their negative impacts on the environment and vulnerable people' – oil and gas production is one of those specifically mentioned (IUCN, 2004: 10). The current IUCN Programme sees 'convening and building partnerships for action' as part of the Union's unique role (IUCN, 2008: 20). These various key strategic documents confirm the relevance of

*On both sides we saw more opportunities than either side had the resources to address. Early in the partnership, we felt we should just prove that it worked rather than trying to cover everything.*

*I want IUCN on big complicated sensitive projects where we need a solution.*

Shell informants.

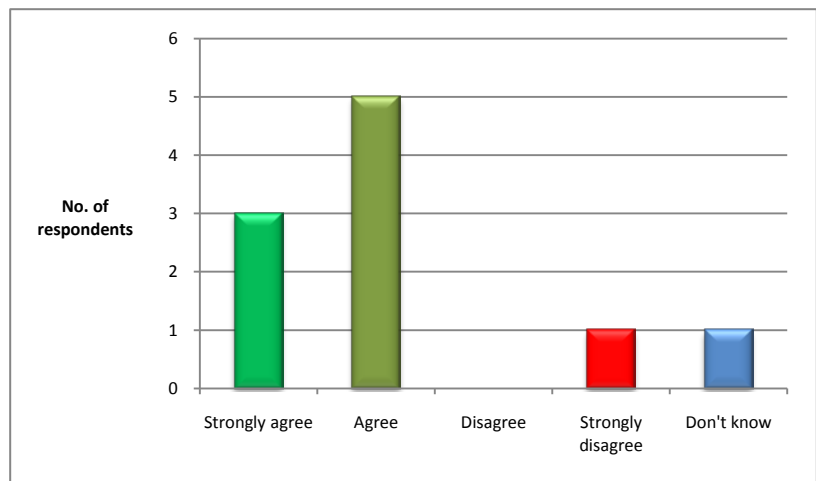


Figure 3. IUCN respondents: 'The IUCN -Shell partnership is relevant to the objectives of IUCN'

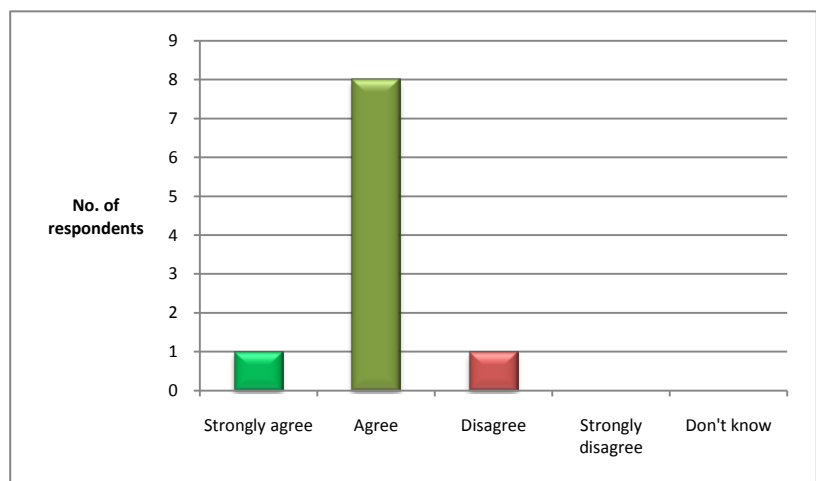


Figure 4. IUCN respondents: 'This partnership is vulnerable to opposition within IUCN'



partnerships with business for fulfilment of IUCN's vision and mission, although they do not refer specifically to the kind of formal, structured partnership that the organisation has formed with Shell.

*There's still ambivalence in IUCN about Shell. Asking Shell for more implies a stronger commitment by IUCN, and IUCN remains nervous about that. Easier to let it stumble on at a low level of intensity than to ratchet it up to what it could and should be.*

IUCN informant.

Despite the official confirmation of their relevance, such relationships with business are the most controversial area of IUCN's operations. The nature of IUCN makes a unity of view on almost any subject unlikely, but attitudes to private sector engagements – especially partnerships with extractive industries like oil and gas – span the full spectrum from strong support to angry opposition, with an extensive field of ambivalence in between. As noted in section 1.1, the Shell partnership itself was the subject of vigorous debate at the 2008 World Conservation Congress. Some elements in the Union dismiss such relationships, and specifically this partnership, as not only irrelevant but actually harmful to IUCN's character and commitments. They remain a minority. Overall, the ten IUCN respondents to this question in the online survey confirmed the relevance of the Shell partnership to the objectives of the Union (Figure 3 above). But, as in Shell, most (seven of ten) disagreed that 'there is clarity in IUCN about the value of this partnership'. Nine out of ten disagreed that 'there is consensus in IUCN about the value of this partnership', and nine agreed with the statement that 'this partnership is vulnerable to opposition within IUCN' (Figure 4).

The individual opinions expressed by IUCN respondents reveal several important arguments. One, more or less expressing the official view, said that "as difficult as relationships are between conservation and the oil and gas industry, it is essential that they [IUCN] engage with business if sustainability goals are to be met". Another pointed out the relevance of working with a leading company in the sector, which should help to influence the industry as a whole. Others doubted the relevance of this kind of partnership per se, feeling that it would be more productive to work with industry associations and that any such engagement should be matched by equal emphasis on strengthening regulation of the sector. Perhaps most tellingly, many questioned relevance in terms of measurable results, saying that if these had not been adequately specified in the partnership agreement, or if they could not be demonstrated, then the relevance of the partnership could not be confirmed. This is the heart of the challenge for the present review and for both sides of the partnership. Is it relevant because of the tangible results it can achieve in the short to medium term, or because it builds a steadily stronger process of consultation and collaboration that will achieve the right outcomes in the longer term?

### 3. Effectiveness

#### 3.1. Introduction

This chapter answers the core question of the review: whether the partnership has achieved, or is achieving, the outputs and outcomes intended by the collaborative partnership agreement. The review matrix (Annex 2) asks ‘how effectively has the partnership achieved the objectives and scope as agreed in the collaborative partnership agreement?’ These ambitious intentions were set out in section 1.2 above. The matrix also asks what effects the partnership has created – in terms of the partners adding value to each other’s work, improved Shell performance in terms of biodiversity standards, tangible effects on the public and corporate policy arenas, and unplanned results.

#### 3.2. Outputs and outcomes to date

The activities of the partnership so far were summarised in section 1.3 above. The consensus is that the strongest progress towards tangible outputs and outcomes has been made with regard to biofuels, where the intended second stage of the funding model has been achieved with the relevant Shell business picking up the cost of the joint activity following initial support from the partnership’s own base programme budget. The other output that is seen as tangible, practical and useful is the review of Shell Biodiversity Action Plans produced by the IUCN secondment to The Hague. Indeed, the full time operational contributions by the two secondments to their host organisations are in some ways the most substantial outputs of the partnership so far (section 3.4).

Two other major areas of programmatic effort show promise, but are widely seen on both sides as frustratingly slow to get started. These concern the two activities regarding the Arctic (a strategic impact assessment and exploration of a Regional Ocean Management Organisation) and the idea of joint work on a strategy for decommissioning North Sea oil and gas platforms. Both these concepts meet several criteria of the partnership by spanning many government and civil society interests – an ideal opportunity for IUCN’s convening power to be deployed – and by potentially involving many energy industry players, thus helping to add value beyond the two partners to the sector as a whole. In the case of the North Sea, following IUCN inputs to the preliminary phase of the Living North Sea project in 2009, Shell has decided to take the issue forward primarily with the energy industry association for the North Sea, although IUCN will also make contributions through a Level 2 project under the partnership. The Arctic work may have more medium to long-term promise, although the initial assessment is to be done by a consultant rather than by IUCN itself – an instance, in some Shell eyes, of IUCN not having quite the comprehensive global expertise that they had expected. Indeed, IUCN staff have learned that in some of the joint fields of interest, such as biofuels, Shell has much greater capacity than they do.

As noted in section 1.1, various more restricted activities have been emerged through the partnership, although they could not in themselves be considered reasons for a partnership – they could have been arranged through less formal (consultancy) contacts. IUCN reviewed a document on invasive species produced by the International Petroleum Industry Environmental Conservation Association (IPIECA). Joint efforts to make IUCN’s Red List of endangered species more useful for business were undertaken with three years of funding support from the partnership, although negotiations to extend this support have not yet been successful. Little progress was made with the idea of joint work on protected areas, with which IUCN’s Programme on Protected Areas failed to engage effectively.

Various forms of learning were meant to constitute another key activity, with stronger capacity for both partners as the intended outcome. The primary concept was a ‘Business Academy for Conservation’, which would be located in IUCN’s new headquarters building and would help Shell and other businesses to learn more about biodiversity and environmental issues and strategies, while also providing facilities for IUCN and other (environmental) NGOs to learn more about business practice, procedures and strategies. It was gradually concluded that this was not a feasible idea. Shell, in particular, doubted the wisdom of an

expensive training centre of this kind in Gland, and has been closing many of its own formal learning centres around the world in recent years. It now favours more flexible modes of interaction and learning, and still expresses commitment to achieving that for its own personnel through this partnership. The original idea of the academy, however, has been dropped.

A related initiative concerned the provision by Shell of enhanced business skills in fields like accounts and human resource management to IUCN – the assumption being that a global corporation like Shell would have something to teach an NGO like IUCN about efficient business operations. A number of scoping and training visits have been made from The Hague to Gland, but to date there has been no significant transfer of business skills in a process that is seen as having been insufficiently shaped and co-ordinated so far, partly due to organisational and personnel changes in both Shell and IUCN.

There is awareness on both sides of the partnership that much more could be done to exchange skills and experience between Shell and IUCN at more local levels. The primary candidate is IUCN’s Asia Regional Office, which has the only regional BBP staff member – who also sits on the Steering Committee for the partnership. At regional and country levels there is enormous opportunity for joint learning on more immediate conservation and impact issues, with many potential benefits for staff of both organisations. So far, this opportunity has not been taken up. The initial emphasis has been on building the partnership at the headquarters and management levels in IUCN and Shell. Particularly in IUCN, there is also a concern to engage with Shell as partners at global, strategic level rather than on local, site-specific issues that could equally well be tackled by expert consultants.

### 3.3. Achieving the broad objectives

The first of the three broad outcomes of the partnership, quoted in section 1.2 above, is about Shell having the

*I fear that people want results from the partnership more quickly than they will actually happen. They shouldn't say now that the partnership isn't delivering. A lot of trust building is needed. The partnership raises the risk stakes. It certainly adds value, but we need to look at what the short term indicators of success are. They are likely to be process-related rather than solid outcomes. We shouldn't put pressure on the partnership to deliver outcomes too soon. We shouldn't confuse the relationship between process and outcomes.*

*The IUCN link is potentially important, but they're not realising the potential at present. I hope it will improve. Lots of meetings, how much delivery?*

Shell informants.

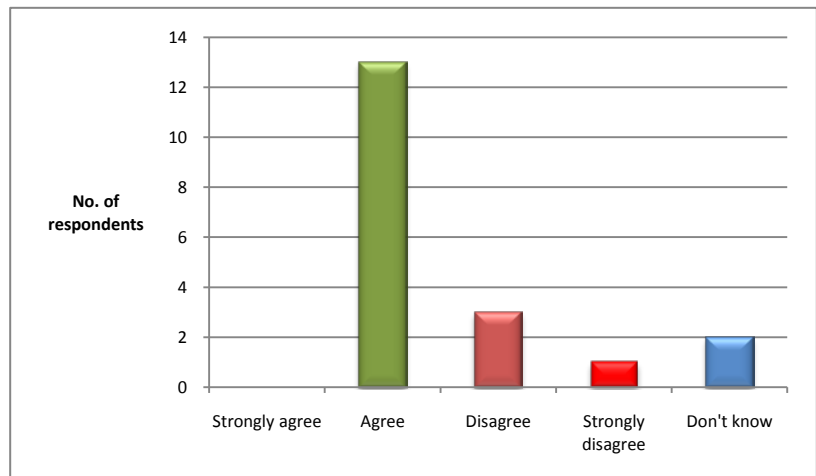


Figure 5. Shell respondents: 'Shell is equipped to be the conservation leader in the energy sector'

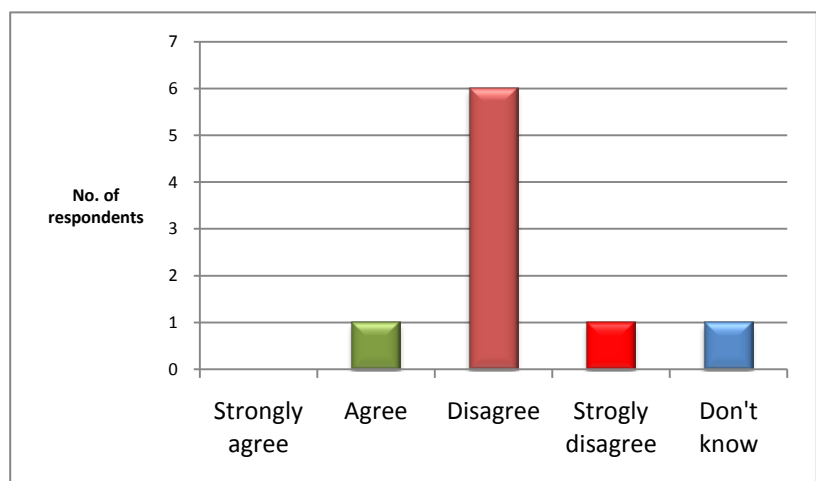
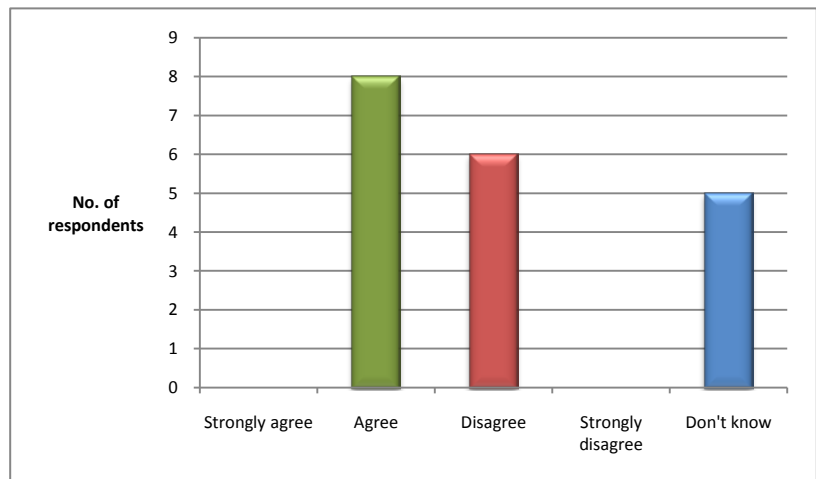


Figure 6. IUCN respondents: 'IUCN has the necessary skills, access to resources and influence'

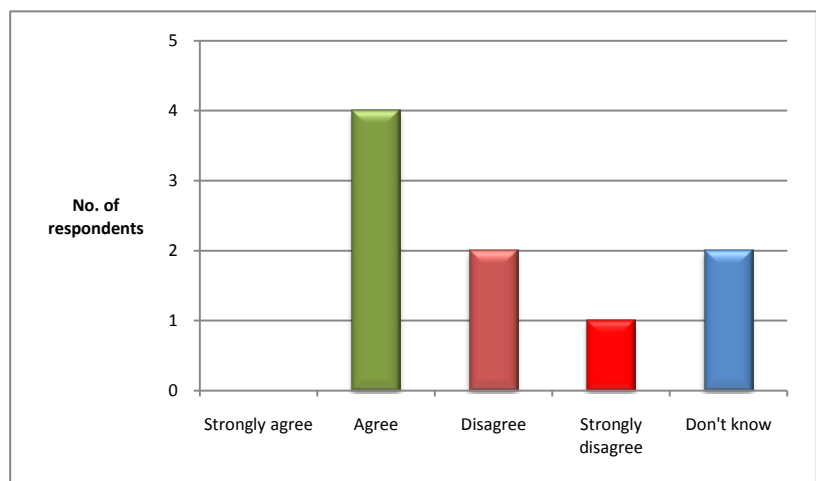
strategies, approaches and tools that it needs to be the conservation leader in the energy sector. This is ambiguously worded. Shell has been working on environmental issues for many years and could arguably have led the sector in this regard before the formal partnership with IUCN had even started. But the intention is clearly that the partnership should help it to achieve, or maintain, this status. In any event, Figure 5 above shows that Shell respondents to the questionnaire survey were reasonably positive on this point – although, interestingly, they were not unanimous. (The caption shows a shortened version of the wording of the question, which can be seen in full at Annex 4.) As can be seen from section 3.2, it would be hard to argue that Shell’s strong position in this regard derives directly from the achievements of its partnership with IUCN since 2007, although the Shell view of the partnership is broadly positive and most of those interviewed remain convinced about the scientific and institutional stature of IUCN.

The second of the partnership’s intended overall outcomes is that IUCN and the broader conservation community (which of course is not reached directly by this partnership) should have the capacity, business skills, access to resources and influence necessary to achieve a significant reduction in the loss of biodiversity. This, too, is an ambitious target, unlikely to be achieved within the current five year span of the partnership. The admittedly small number of IUCN questionnaire respondents who answered the question about whether it has been achieved were almost all realistically negative: the objective has not yet been achieved (Figure 6 above: again, the full text of the question can be seen at Annex 5). This is understandable, since the activities summarised in section 3.2 have largely concerned the application of IUCN’s science, skills and influence rather than their enhancement. The partnership activities that were meant to focus on capacity building have achieved few tangible outcomes so far.

The third of the broad intended outcomes of the partnership is that Shell and IUCN should jointly have a significant impact on the policy arena with regard to biodiversity conservation and sustainable resource use by energy companies. Looking at the partnership’s activities and outputs so far, it can be argued that efforts in the biofuels sector are beginning to have some effect in this regard. Both the North Sea and the Arctic initiatives offer promise for policy impact, but that promise is now qualified in the North Sea case because of the apparent reduction of IUCN’s likely involvement – and although achievement of a ROMO should generate major policy benefits, this lies some years in the future.



**Figure 7. Shell respondents: ‘Shell and IUCN able to help change public and corporate policy arenas’**



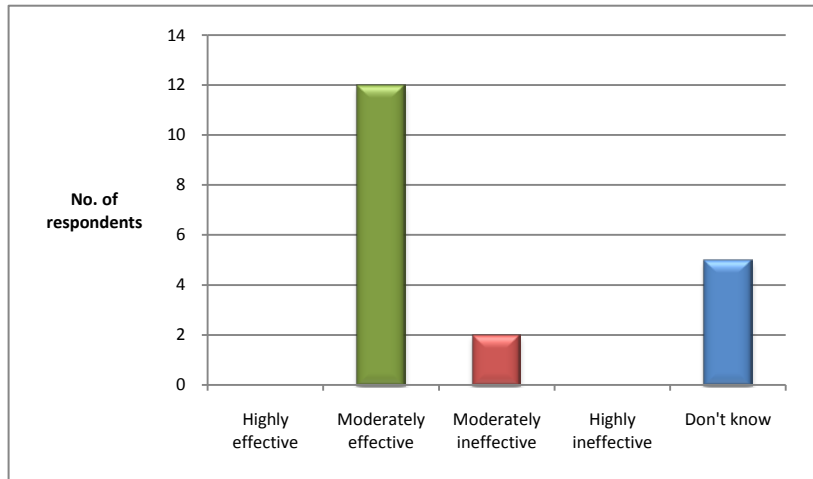
**Figure 8. IUCN respondents: ‘Shell and IUCN able to help change public and corporate policy arenas’**

Nevertheless, substantial proportions of the small groups of Shell and IUCN respondents to the questionnaire survey felt that the two organisations have been able to contribute to changing the public and corporate policy arenas. On the other hand, about a third of both groups did not feel that this influence has been achieved.

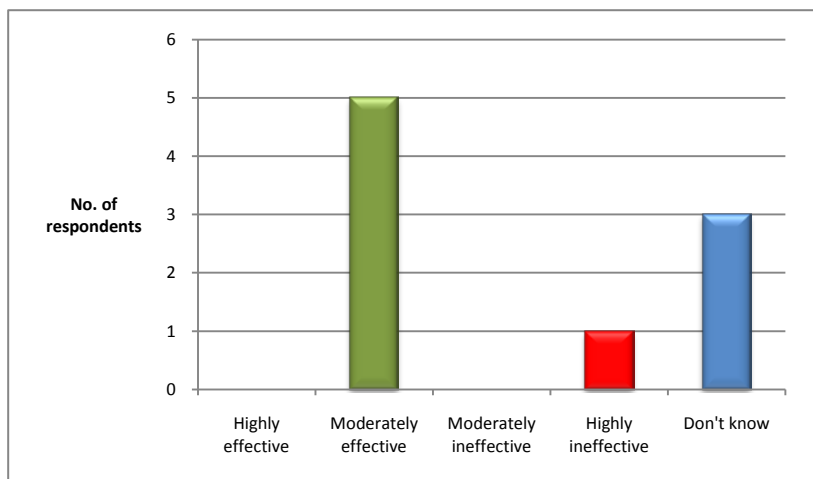
At the level of these overarching objectives for the partnership, it must again be concluded that there has been only limited progress so far. Even if implemented with optimum efficiency and commitment of resources – which later sections of this report will show has not been the case – it would be unreasonable to expect more than modest progress after three years. To be effective in the terms it has set itself, this programme would need to operate for longer than the five years agreed in the first instance. This poses an important political problem. IUCN critics of the partnership, largely among the Union’s members but including some in the Commissions too – will not be persuaded to withdraw their opposition, and will consider themselves proved right, if convincing results are not achieved by the end of the current partnership period. This coincides roughly with the next World Conservation Congress. Many IUCN respondents and interviewees emphasise that it is essential that these results be in place by 2012 if the partnership is to remain politically defensible within the Union. Shell can afford a more measured view, arguing that it is unrealistic to rush such a partnership: it takes time to build trust and collaboration – which is indeed taking place - and it takes time to achieve the sort of objectives that the partners have agreed. It is IUCN that feels the pressure to achieve effectiveness sooner than it might reasonably be expected.

**Recommendation**

1. While recognising the political necessity of ensuring demonstrable beneficial outputs by 2012, IUCN and Shell should ensure that intensified external communications on the partnership stress the long-term challenges and opportunities implicit in building joint programmes that meet the two organisations’ objectives.



**Figure 9. Shell respondents: effectiveness of partnership in achieving its own objectives**



**Figure 10. IUCN respondents: effectiveness of partnership in achieving its own objectives**

### 3.4. Further effects of the partnership

Beyond the achievement of the broad objectives of the partnership, the review matrix (Annex 2) also asks about the effects it has created. One clear effect has been steadily increasing understanding between

*Good process, little progress!*

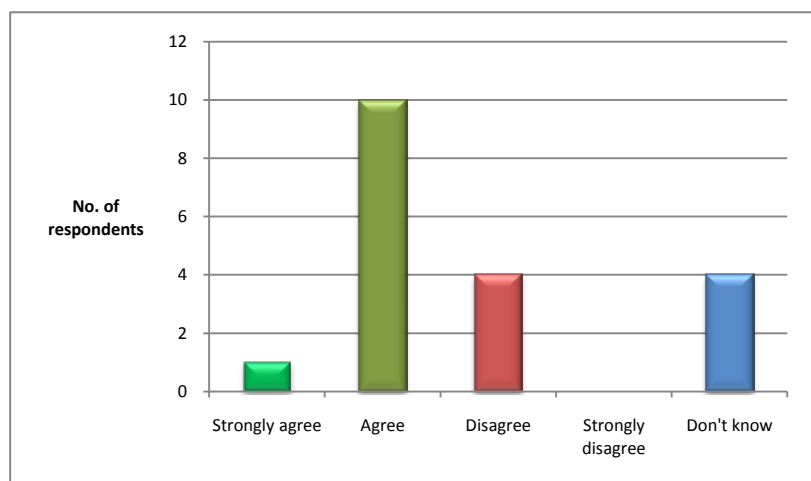
*The Shell partnership has process outcomes, but not conservation outcomes.*

IUCN informants.

the partners at the levels of top management and the Steering Committee. Level 1 type interactions (section 1.3) have steadily developed, as has the feeling of joint commitment and mutual confidence among the partners' senior leaders. While the conservation outcomes referred to in the box are understandably slow in emerging, the process outcomes at these levels are encouraging. This led one senior Shell manager to emphasise that, for this partnership, the glass is half full rather than half empty. The objectively verifiable indicators on which evaluations tend to focus may not be very strong, but the subjective perceptions at top management level are more affirmative.

Another clear way in which the partners have added value to each other's work has been through the secondments. Both the Shell staff member seconded to Gland at the start of 2008 and the IUCN employee who went to The Hague in August that year were embedded in the work programmes of their host organisations and have made important contributions there (section 1.3): the former through support to many activities of the IUCN Business and Biodiversity Programme, the latter in a range of biodiversity and environmental impact issues – in particular, her review of Shell's Biodiversity Action Plans. It is important to note that these secondments have not focused on the projects being developed through the partnership. Instead, they have served broader functions which, although not quantified or even systematically reported, are arguably among the most tangible outcomes of the partnership to date.

The IUCN BBP was significantly reinforced by the Shell secondment from 2008 to 2010, and the BAP review by the IUCN secondment will help to improve the way Shell uses this instrument. However, Shell's new secondment to IUCN has TOR that focus more specifically on facilitating and expediting the partnership projects, which are widely seen as progressing too slowly. The TOR do also refer to support to the BBP in implementation of IUCN's private sector engagement plan and application of its guidelines for private sector engagement. They may lead to renewed effort to transfer business skills from Shell to IUCN, at regional and country levels as well as headquarters. But it should not be necessary to devote too much of the new secondment's time to expediting partnership projects – something he should be able to do fairly fast. The bulk of his effort should be available for



**Figure 11. 'Shell able to improve performance related to biodiversity performance standards'**

*I think the main issue here is perhaps people's expectations against a very tight timeframe. Folk should remember that it took years of relationship building to get to the point where a partnership between Shell and IUCN could even be mentioned. It will take several years (akin to more than one presidential term in office) to yield real dividend, and people should not expect 'quantum leaps' just yet.*

Questionnaire respondent.

broader inputs to the BBP and the Economy and Environmental Governance Group of which it is part.

Probably because of the partnership's contribution on BAPs, the joint work on biofuels and the promising start in some other areas, most Shell respondents to the questionnaire survey were reasonably positive when asked the extent to which the company has been able to improve its performance relative to biodiversity performance standards in the energy sector and supply chain (Figure 11 above). Such progress should not be attributed solely to the partnership with IUCN. It began years before the partnership was agreed, and derives from a much broader effort in the company than the partnership alone.

Apart from the work on biofuels and the input on BAPs that were mentioned above, the partnership has so far had few tangible effects on the corporate or public policy arenas. Again, foundations have been laid – if progress is made, despite recent changes of course, with an IUCN input to North Sea decommissioning strategies, and if the Arctic ROMO work develops along the intended lines. Building strong foundations for such work is bound to take time, but the consensus is that in these cases the necessary agreements could have been reached more quickly. That is one reason for the TOR of the new Shell secondment to IUCN.

The review was asked also to explore the unplanned results that may have arisen from the partnership. Not surprisingly, interviewees and questionnaire respondents described a mix of positive and negative experiences. There is a general view that the secondments since 2008 have added more value than expected, the BAP review being a tangible example. As noted, the increasingly cordial relations between Shell and IUCN at the highest management level are seen as positive, although IUCN in particular must manage operational expectations and political impacts in this regard. In several instances, one only partly planned consequence of collaboration has been engagement beyond the partnership with other companies and organisations, leading to broader regional and sectoral engagement with regard to biofuels, the North Sea and the Arctic. Less welcome has been the unexpected complexity of achieving action through the partnership (section 5.4). Each partner has of course learned some things it did not expect about the other: IUCN, for example, is now aware

*With its much greater capacity, Shell can help IUCN keep on top of some of the sustainability discussions.*

*Shell people are more fun [than those in some other companies]! I have lots of respect for my Shell colleagues. Great individuals.*

IUCN informants.

**Shell views on factors supporting achievement of the partnership's objectives**

General intrinsic belief that we need external parties to help us meet our licence to operate and provide that 3rd party independence.

IUCN, given its membership, is unique and therefore, Shell stands in a unique position amongst its peers and in industry for being able to craft a partnership with a key NGO on the world stage.

Buy in, ownership and dedicated staff to projects on both sides (not middlemen, coordinators, but people who do the work together).

*Shell survey respondents.*

**IUCN views on factors supporting achievement of the partnership's objectives**

Main factors would be sustained high level commitment to comprehensive expedition of activities and standards resulting from the collaborative work. And constant vigilance (monitoring, measurement and reporting).

In general, there needs to be more effective engagement with relevant staff in IUCN.

Commitment from champions within Shell and IUCN to achieving the objectives is key, as are financial resources to do the work, capacity of staff on both sides to deliver, and time in our work plans to do the work that needs to be done.

*IUCN survey respondents.*

that in some environmental fields Shell has a greater depth of technical expertise than it does itself, while Shell respondents report a stronger than expected growth in awareness about biodiversity issues at high levels in the company. This is probably linked to the growth of strong high level links referred to above.

Overall, as this partnership nears the end of its third year, it has been only modestly effective in terms of the formally stated objectives and intended outcomes, although some informants feel that the partners have taken positive steps along the journey they have started together. Asked about this in the questionnaire survey, both IUCN and Shell respondents judged it moderately effective in reaching its own objectives (Figure 9, Figure 10 above). Asked whether it was helping the two organisations to reach their own objectives, the majority of both groups of respondents again said that it was moderately effective, with nobody judging it highly effective. However, two of the small group of nine IUCN respondents said that the partnership is highly ineffective in helping to achieve the objectives of IUCN – an indication of the strong view in some parts of the Union that such links are not the way to fulfil its mission.

A range of factors are seen as contributing to the partnership's progress, or lack of it. Not surprisingly, many respondents and interviewees refer to strong commitment from the top of both organisations as a key positive factor. They also point to the strong contribution that the secondments have made since 2008. Perceptions and attitudes are important, too. On the Shell side, this means recognition that working with a strong NGO can be beneficial, not least because it puts the company ahead of competitors who have not been able to build such a relationship (see box above). IUCN respondents also pointed to the importance of strong leadership and commitment to all levels. But some said that the objectives needed to be more clearly stated and communicated before it made sense to talk about how to achieve them.

On the negative side, people in both organisations refer to the efficiency factors outlined in chapter 5 below. More broadly, they are concerned about commitment. It is clear that not everyone in IUCN's broad community is convinced about the partnership (indeed, some are strongly opposed to it). But in Shell, too, there are references to reluctance at some more local levels about the practical, operational benefits that the partnership can achieve. Other constraints concern realism and practicality: especially on the IUCN side there is a need to see quick wins, but in the complex and often slow-moving world of Shell project development, sub-contracting and joint ventures, these quick wins are not very likely – except on the very minor scale of dealing with bears or elephants, for example, at individual sites. The metaphor of changing the direction of the super tanker is particularly apt in this case. Several observers suggest that one constraint on effectiveness – at least within the time frame currently set for the partnership - is the global level and large scale at which most of the joint activities are organised. Doing more at local or country levels, they imply, could help achieve more in the shorter term, as well as building a broader commitment to the collaboration across both organisations.

### **Recommendation**

2. While recognising the need to expedite joint project development and implementation, the partners should ensure that as much as possible of the time of the new Shell secondment to IUCN is devoted to broader support to the IUCN Business and Biodiversity Programme and the Economy and Environmental Governance Group of which it is part.



## 4. Management, leadership and governance

### 4.1. Introduction

Recognising the obvious importance of management, leadership and governance in determining the effectiveness of the IUCN-Shell partnership, the review matrix at Annex 2 asks a number of questions about the performance of the Steering Committee and the Relationship Managers, as well as about results-based management and the performance indicators and monitoring needed to make it work. This chapter assesses the performance of the partnership from these perspectives.

### 4.2. The Steering Committee

The partnership agreement provides for a Steering Committee of up to four representatives of each party. It states that the Deputy Director General (DDG) of IUCN will be a member, along with ‘the Vice President Sustainable Development (or comparable)’ of Shell. The TOR of the Steering Committee themselves describe the senior IUCN representative as ‘the Director Global Programme’, which is in fact the DDG. The partners’ senior representatives take turns to chair the meetings of the Steering Committee, of which there have been five so far – keeping roughly to the TOR requirement of two meetings a year. The two Relationship Managers are *ex officio* members and share secretariat duties.

The Steering Committee has been broadly effective in monitoring and directing the progress of the partnership, although it has done this in a somewhat less structured way than was intended. Most of the discussions recorded in its minutes concern the progress of individual concepts and projects, although there has also been higher level debate about the issues that the partnership is trying to address and the strategies being used for that purpose. It can be seen from Figure 12 and Figure 13 that, while most Shell respondents to the questionnaire survey were positive about the Steering Committee’s performance, there was less unanimity among the smaller group of IUCN respondents. Some participants and observers in IUCN argue that their organisation is represented at a more senior level in the Committee than Shell is. There are several layers of authority above the senior Shell representative, while the IUCN one is the Deputy Director General. These are two such different organisations that it is not surprising that there should be some mismatch in the way their governance structures are represented on this body. At the same time, the IUCN

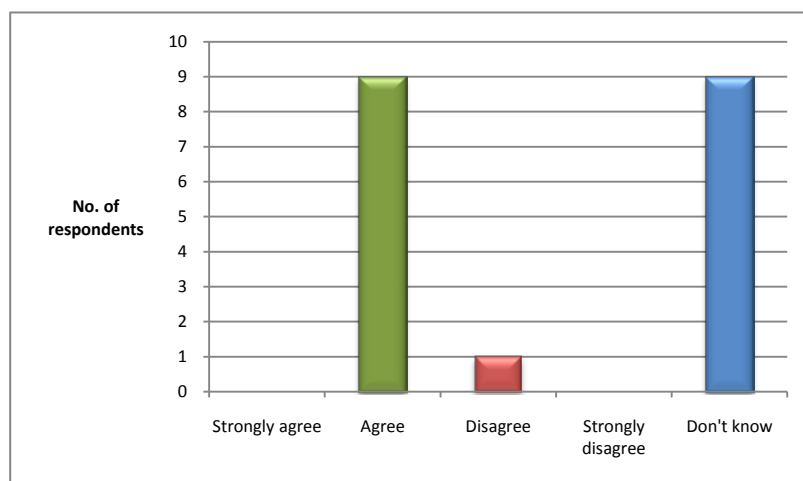


Figure 12. Shell respondents: ‘Steering Committee driving partnership effectively to achieve objectives’

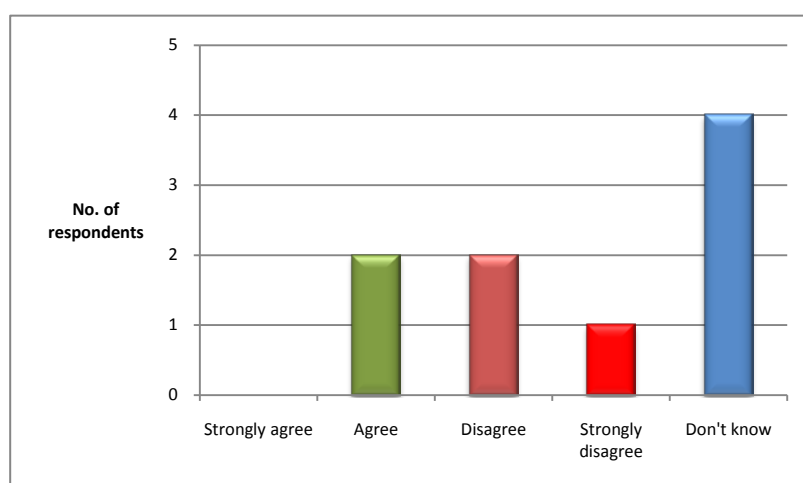


Figure 13. IUCN respondents: ‘Steering Committee driving partnership effectively to achieve objectives’

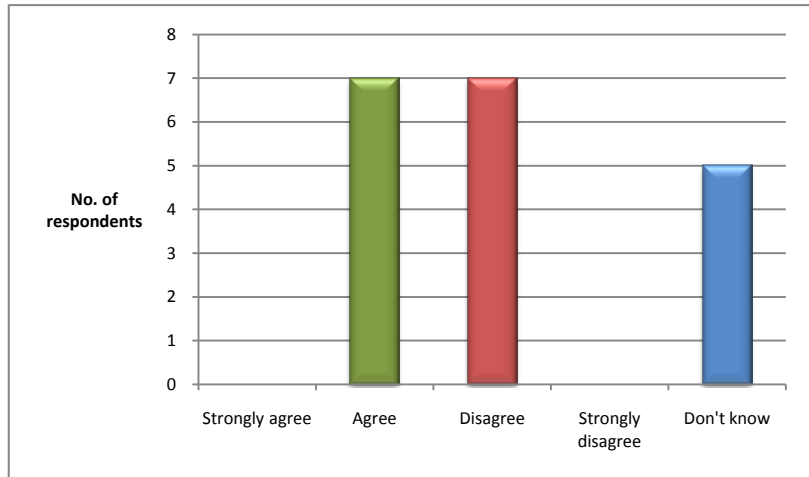
view just reported comes from staff of the Secretariat, which in fact is overseen by the Union’s Council. What matters more is whether each side’s representatives have the same level of authority to take decisions that will be binding on their respective organisations.

As a governance structure, the Steering Committee is reported to have had little direct engagement with the two seconded personnel. There is no regular reporting process for the seconded staff to inform Steering Committee meetings about their activities and outputs, although the IUCN secondment to Shell did make a presentation on the review of Biodiversity Action Plans (and both secondments have reporting links or other contacts to individual Steering Committee members).

*In our area of collaboration with Shell, there is not much feedback from the Steering Committee. Not much success in communicating with the RMs.*

*There is no link between the steer of the Steering Committee and implementation.*

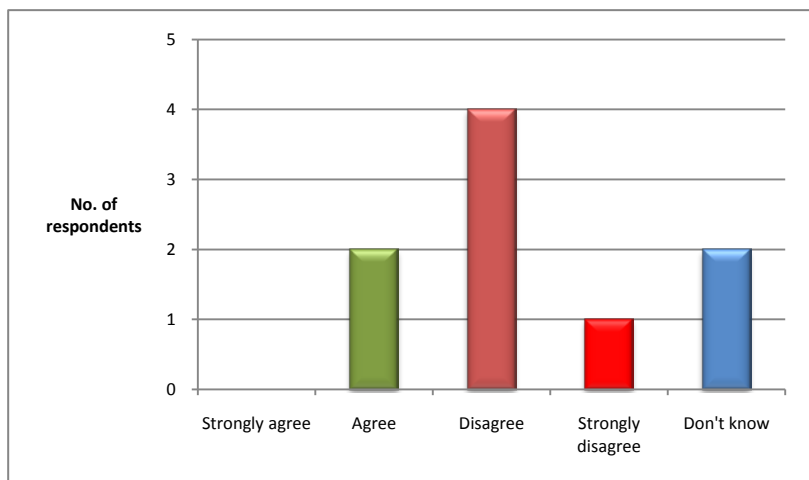
IUCN informants.



**Figure 14. Shell respondents: performance indicators clearly specified**

### 4.3. Monitoring and management

The Steering Committee has ‘managed the strategic elements of the collaboration and provided operational direction’, as the partnership agreement intended. But there is no record of it having carried out an annual review of the collaboration on the basis of the agreed set of output and outcome indicators, as also stipulated by the agreement. As observed in section 1.5 above, only a very brief set of indicators seems to have been developed, and this has not been used systematically. There is no sign that such indicators have been useful in enhancing performance of the partnership at operational and strategic levels. Some IUCN informants complain that they cannot offer an informed opinion about the partnership because the necessary data are not available.



**Figure 15. IUCN respondents: performance indicators clearly specified**

*We could have achieved much more if the objectives and deliverables had been clear from the outset.*

IUCN informant.

Recent progress reports by the Relationship Managers have used a ‘traffic light’ system to summarise the amount of progress being achieved (‘good’, ‘(very) little’ or ‘no progress’). The Steering Committee has, of course, performed another of its intended functions by arranging for this mid-term external review of the collaboration.

The Steering Committee TOR envisage that it would review and approve the annual work plan and base programme budget for the partnership by 15 July of the preceding year. Minutes of the first meeting could not be provided for this review, but minutes of the subsequent four meetings do not record any such process, although they do show that the Steering Committee received budget reports and made various comments on spending patterns, the format of the reports and some reallocation of funds between projects. Annual work plans do not appear to have been prepared, although indicative estimates of base programme activities have been presumably been drawn up as a basis for annual budgeting. Planning and management of the developing package of joint activities has thus been more organic than structured.

### Recommendations

3. The partners should develop a full set of performance indicators that allows for measurement and reporting of performance in the short, medium and long term at both output and outcome levels.
4. The RMs should report annually to the Steering Committee on partnership performance in terms of these indicators.
5. The Steering Committee should undertake a formal review of the RMs' monitoring report at one of its meetings each year.
6. Each seconded staff member should make an annual presentation to the Steering Committee on activities, achievements and constraints.

### 4.4. The Relationship Managers

As was noted in section 1.1, the Shell and IUCN Relationship Managers for this partnership have somewhat different responsibilities. The one in Shell, who works four days a week, is Manager, Environmental Partnerships and therefore responsible not only for the company's other formal collaborative partnerships but also for its links with many other organisations. The IUCN RM, who is funded from the partnership budget, devotes about four of his five working days a week to the Shell partnership. The balance of available effort by the RMs is therefore uneven, and the review understandably encountered comments

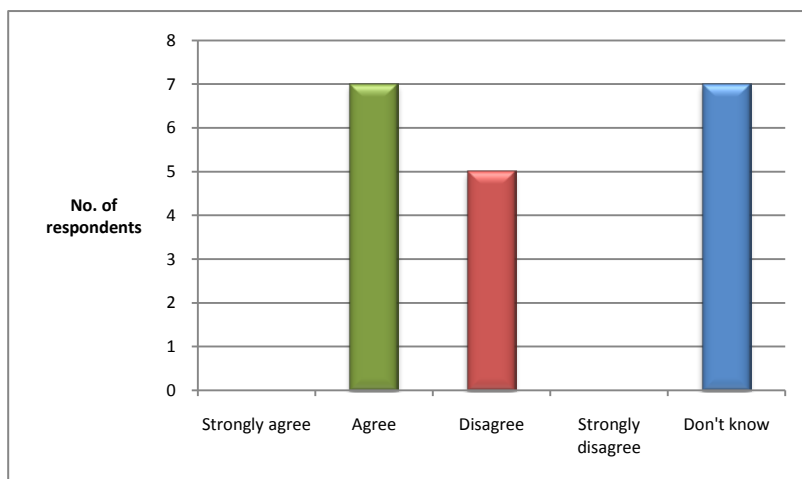


Figure 16. Shell respondents: activities efficiently planned and, where necessary, revised

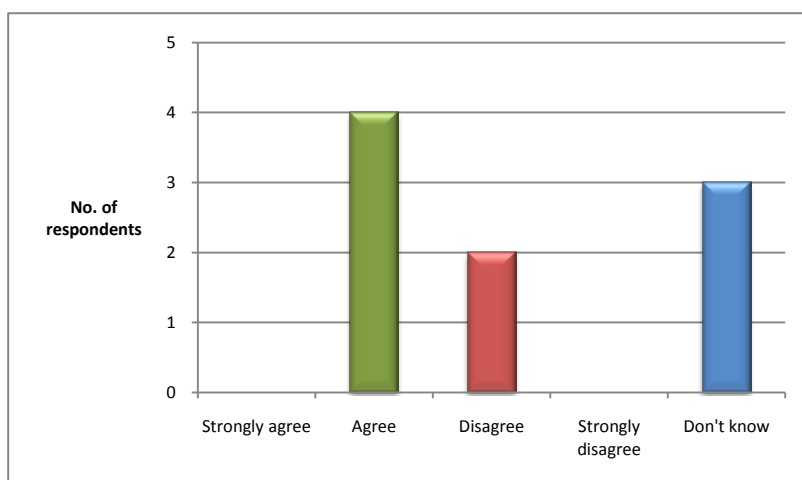


Figure 17. IUCN respondents: activities efficiently planned and, where necessary, revised

about slow communications with and feedback from the Shell RM. As in any human organisation or enterprise, communications is one of the biggest challenges for this partnership (section 5.3), and technical staff at various levels in both organisations believe that its performance would be enhanced if the RMs communicated more systematically, intensively and openly about it. Shell may, understandably, have had no intention of funding a separate RM post in its structure for each of its partnerships. But the expectation is, understandably, created that the Shell RM should be able to maintain the level of interaction that such partnerships soon demand.

The review matrix (Annex 2) asks how effective the RMs have been in ensuring the effectiveness and efficiency of the partnership. The answer must be that they have only been moderately effective. There are several reasons for this. The obvious pressure on the Shell RM has already been mentioned. He is overloaded, lacks administrative support and is likely to face increasing, not decreasing, workloads. Working practice and efficiency of communications within their respective organisations are another factor noted above. But both RMs must operate within the overall constraint on partnership effectiveness that was identified in chapter 3: the realism of the objectives that were set, in the context of the two organisations' ability to steer in new and challenging directions. In particular, they have had to devote enormous time and energy to the logistics and bureaucracy of setting up joint activities by these two very different organisations (chapter 5). Their architecture is both different and similar. In each, the RM works from a central, global and supposedly executive agency within the organisation, but must coax action from a range of other structures that are not directly under the authority of their central office. In both Shell and IUCN, the challenges of the RM are a microcosm of the challenges facing the central structure as a whole. When these two sets of challenges are combined in a partnership like this, the task of the RMs, together and separately, is obviously not easy.

These difficulties are reflected in the TOR of the new Shell secondment to IUCN (section 3.4). Returning for his second assignment in Gland, he is now called Project Implementation Manager, and no longer Shell Biodiversity Adviser. A major part of his task is to try to break the logjam that has been frustrating the RMs, supposedly allowing the latter to move upstream somewhat in their facilitation of the partnership. Although some form of extra effort to cut the legal and bureaucratic delays around partnership projects is needed, the new arrangement will need clearer and broader explanation, especially in IUCN, than has been provided so far. There is currently some confusion about the difference between a Relationship Manager and a Project Implementation Manager.

## Recommendation

7. Shell should adjust the work load of its Relationship Manager and provide him with adequate administrative support in order to ensure that his functions regarding the partnership with IUCN are adequately fulfilled.

## 4.5. Other governance and management issues

This chapter has shown that the formal arrangements for the governance of the Shell-IUCN partnership are in place and are functioning, although not as systematically as the agreement had envisaged. The provisions of the agreement with regard to intellectual property and confidentiality have been respected, although there have been a few minor incidents when

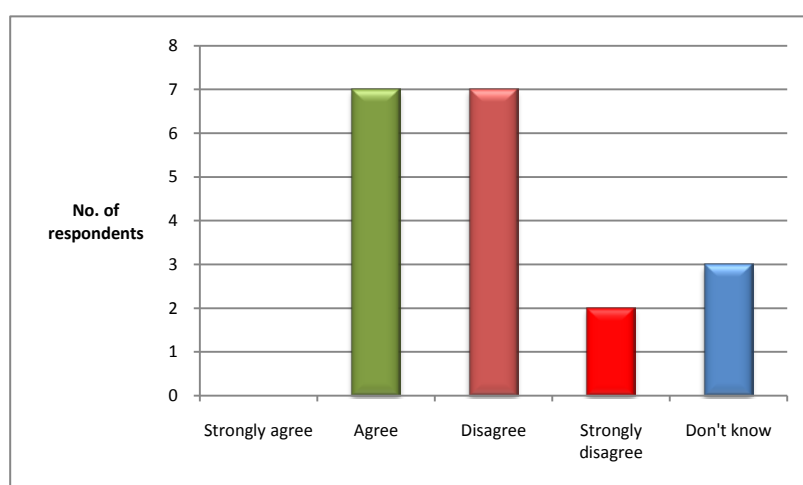
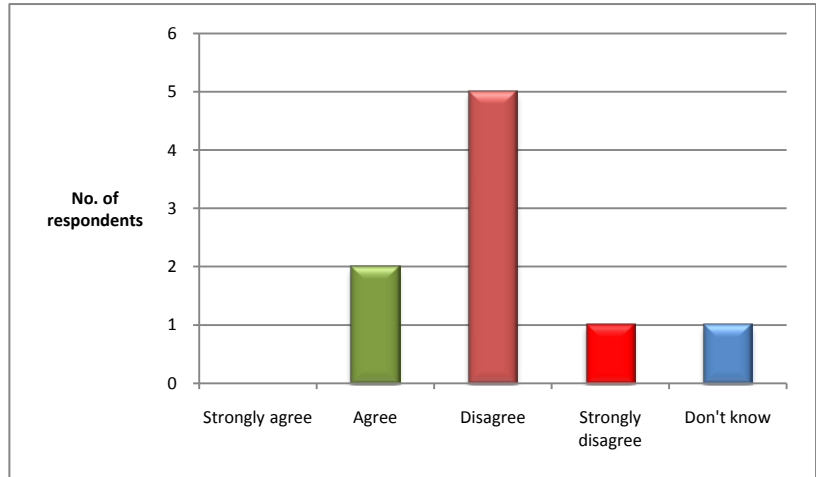


Figure 18. Shell respondents: 'stakeholders within Shell being effectively engaged'

Shell expressed concern about IUCN publication of apparently confidential material. This has been a learning curve, especially for IUCN staff confronting the tight confidentiality restrictions surrounding work in and with Shell. A related constraint spans the governance and implementation of the partnership. Shell’s need for legal scrutiny of every initiative and activity – which must sometimes be matched by IUCN’s legal advisers – inevitably slows progress and, at one level, hinders the development of trust between the parties.



**Figure 19. IUCN respondents: 'stakeholders within IUCN being effectively engaged'**

Some of the contrasts between the organisations are reflected in the responses to the questionnaire. Asked whether accountability is appropriately structured and achieved in the management and governance of the partnership, almost half of the small group of IUCN respondents said no – while the majority of the Shell respondents said yes. Significant numbers in both groups said they did not know, which is telling in itself. Most of the IUCN respondents felt that stakeholders within their organisation are not being effectively engaged to participate in the partnership. In Shell, too, a majority said that this was not being achieved. There is evidently a feeling on both sides that the management and governance of the partnership are failing to build enough of an informed and committed constituency for the intended joint effort.

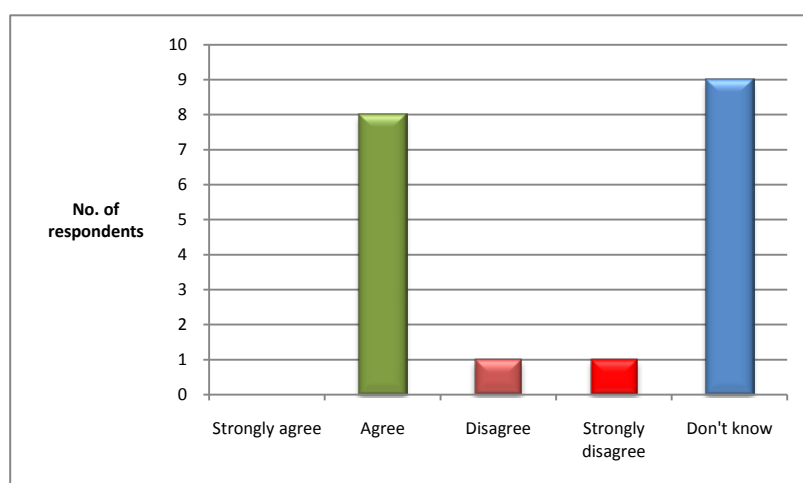
## 5. Cost effectiveness and efficiency

### 5.1. Resourcing and value for money

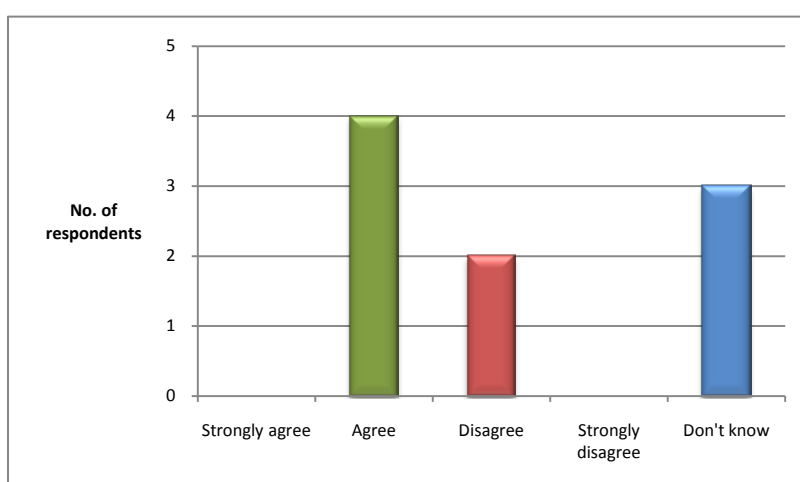
Shell provides a basic budget for the operation of the partnership. Of this, over half is devoted to the salaries and costs of the secondments between the two organisations. The balance covers the base programme, including the salary and costs of the IUCN Relationship Manager.

Over three quarters of the annual subvention by Shell is thus devoted to personnel, with only a modest amount available for the base work programme. Much of the value generated by the partnership budget should therefore be expected to come from the secondments, and arguably does – although this is sometimes overlooked as participants and managers understandably focus on the effort to develop and deliver joint projects. It could also be concluded – as some informants for this review have done – that the partnership is under resourced, with only a limited amount a year available for project work. This is a misunderstanding of the funding concept for the partnership. As explained in section 1.3, the intention is that the base programme budget provides seed money for concept or pilot level work. If promising, such work is then adopted and funded – potentially on a much larger scale – by the relevant business within the Shell group. So far, this has only happened with the biofuels work that the partners are undertaking.

Shell is the principal funder of the partnership. IUCN provides senior staff time to help supervise it and to engage in the level 1 activities summarised in section 1.3 above. This effort has not been costed, but is offset by the overhead charge that IUCN deducts from the base programme budget. From most points of view the funding model for the partnership is sound and the resourcing is adequate: small seed money from the base programme can lead to much more substantial budgets from Shell. However, some staff in IUCN have felt that base programme project budgets are too small to be worth the effort. This has reportedly led to reluctance in some quarters to engage actively in the partnership. Of nine IUCN respondents who answered the question, four felt that the partnership is not adequately resourced and three said that it is; two did not know. Of 19 Shell



**Figure 20. Shell respondents: 'the partnership is operating in a cost effective manner'**



**Figure 21. IUCN respondents: 'the partnership is operating in a cost effective manner'**

respondents to this question, nine could not say whether resourcing is adequate; nine said that it is; and just one said it is not.

Whether the partnership agreement represents good value for money for Shell and IUCN is of course a matter of perception – primarily on the Shell side, since the company is providing the funds. Some in the company feel that IUCN is an expensive source of expertise and that deploying that expertise is itself proving to be a time consuming and costly process. Others emphasise that links with and advice from what they see as a prestigious body are well worth Shell’s investment, and that the benefits should not be measured only in the short term but be seen from a longer-term strategic perspective: company personnel are, or can be, gaining experience and insights from the partnership, which is helping Shell to reposition itself with regard to environmental concerns. It can be seen from Figure 20 and Figure 21 above that a majority of questionnaire respondents in both organisations felt that the partnership is operating cost effectively, but that there were some opposing views.

## 5.2. Clarity and definition

To function efficiently, any initiative or enterprise must be clearly defined and understood by its participants. Chapter 2 showed that not all those asked about the partnership between IUCN and Shell felt that there was clarity or consensus about its value. More broadly, it would seem that not all those who should be helping to drive the partnership are clear about its scope and intended mode of operation. Reflecting the greater ambivalence in IUCN about business partnerships in general and the partnership with Shell in particular, a majority of the small group of IUCN questionnaire respondents said that the partners’ roles are not clearly defined (Figure 23); but a few people in Shell felt the same (Figure 22). In both organisations, larger proportions of respondents – a clear majority in IUCN – felt that the roles of the partners are not clearly understood (Figure 24, Figure 25). Those answering these questions with ‘don’t know’ were also confirming that the partnership is not as clearly defined and understood as it might be.

## 5.3. Communication

The efficiency of the partnership is thus compromised by a lack of clarity and understanding. This clearly raises questions regarding communication about the partnership within the two organisations. As was noted in section 4.4, staff of both IUCN and Shell feel that the Relationship Managers are not communicating with their colleagues as comprehensively as they should. Some senior staff in both organisations feel insufficiently informed about the partnership, which feeds their view that it is not well structured or organised. Of course, most people in both IUCN and Shell receive more e-mail than they can handle; few people anywhere can optimally filter or prioritise their 21<sup>st</sup> century communications overload. Communications occupy more and more of the working day, yet key

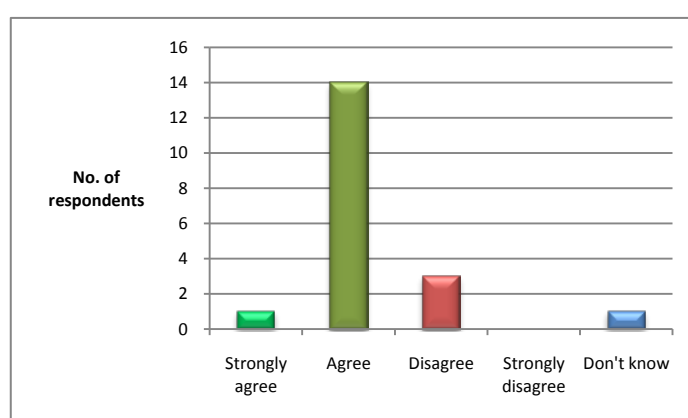


Figure 22. Shell respondents: 'the roles of the partners in this partnership are clearly defined'

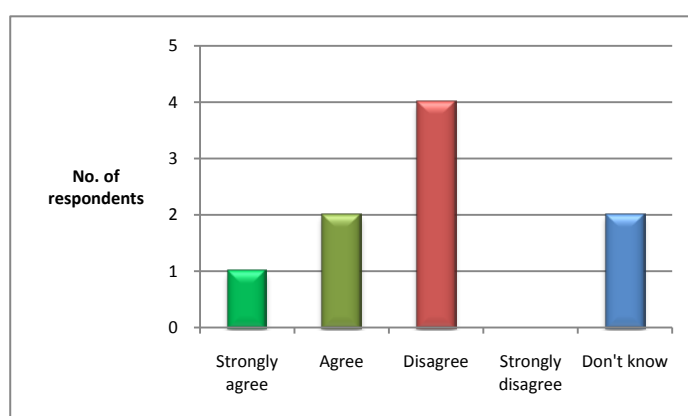
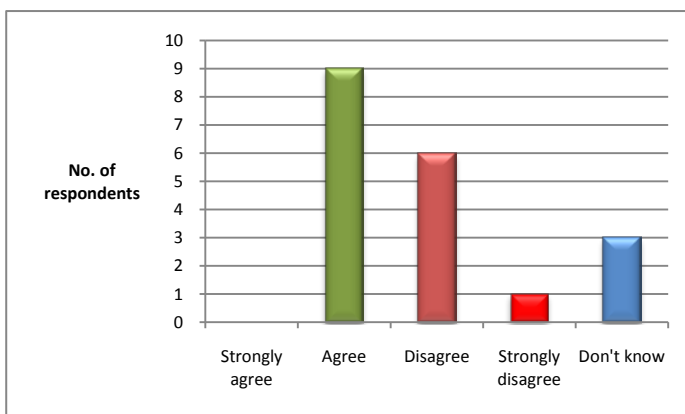


Figure 23. IUCN respondents: 'the roles of the partners in this partnership are clearly defined'

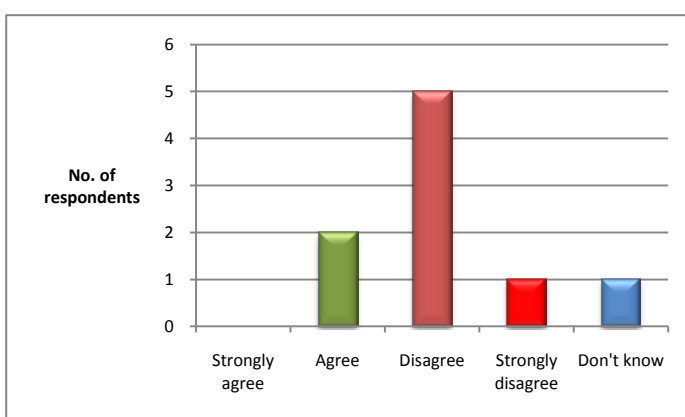
information can still be missed. It is quite likely that some who feel insufficiently informed about the partnership have failed to notice, or remember, the information that was indeed communicated to them. Moreover, there was reportedly a conscious decision in Shell not to communicate too broadly about the partnership until there was clear evidence of success to convey.

Communication between the organisations is incomplete too. Although a majority of survey respondents on both sides felt that Shell and IUCN are communicating efficiently with each other, significant minorities disagreed. Some interviewees in both organisations complained about lack of response from the other party to what they saw as overtures from their side. Some in Shell, following the major reorganisation there, remain wary of direct communication with IUCN, however useful they think this might be, because they remain uncertain about lines of authority and approved protocols for such interaction.

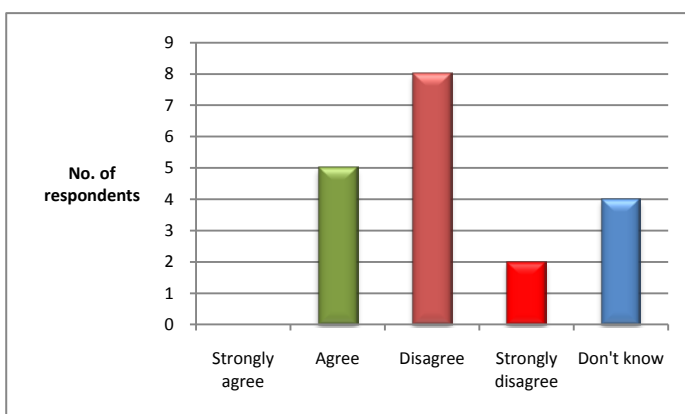
Communications with the outside world raise broader questions about efficiency and effectiveness. They are governed by a communication protocol for the partnership that was signed in October, 2008 (a year after the partnership came into force) and is meant to “ensure consistency in content and demonstrate a constructive and effective working relationship” (IUCN and Shell, 2008: 2). Communications relating to the partnership and its activities, such as press statements, web pages and brochures, must be approved by both parties. The routine aspects of such external communications have been uncontroversial so far, partly because there have been relatively few tangible outcomes to report and there have to date been no formal joint communications by the partners. What have proved more sensitive have been Shell announcements on issues where IUCN was likely to have a different view. For example, IUCN responded on its website to reports that Shell was pulling out of wind and solar energy development. (According to Shell these reports were inaccurate.) Shell’s joint venture with a Brazilian sugar firm on biofuel production was another case where the partners’ attitudes



**Figure 24. Shell respondents: 'the roles of the partners in this partnership are clearly understood'**



**Figure 26. IUCN respondents: 'the roles of the partners in this partnership are clearly understood'**



**Figure 25. Shell respondents: 'Shell, IUCN communicating effectively with their broader constituencies'**

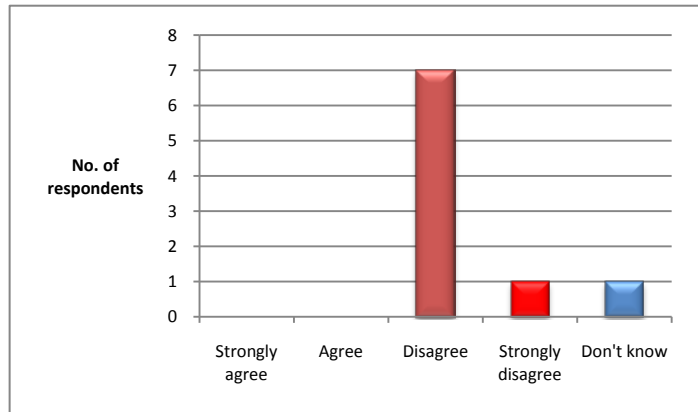
*The agreement has been fairly invisible to us in our region.*

*In my region I rarely see the practical details of what's going on in the partnership. There is no real connection.*

IUCN informants.



diverged. In such instances, the expectation is that Shell will warn IUCN in advance, and that IUCN is free to make a public statement of a different stance. The principles that IUCN is free to issue critical communications about Shell positions, and that Shell should warn IUCN about imminent and potentially awkward announcements (and vice versa), are well established in the partnership. IUCN does sometimes feel that Shell should give it earlier warning; and it is in the nature of commercial operations that, despite the confidentiality commitments that all participating staff are required to sign, very little such warning is normally given. Communications issues have not yet caused any great difficulty in this partnership. But there is clearly a significant discrepancy between the openness and transparency that NGOs like IUCN consider normal and the concern with confidentiality that prevails in the private sector.



**Figure 27. IUCN respondents: 'Shell, IUCN communicating effectively with their broader constituencies'**

Both groups of respondents to the questionnaire survey expressed dissatisfaction with regard to communication with their broader constituencies about the partnership. Given the controversy surrounding it in the broader IUCN community, the universally negative view among IUCN respondents is not surprising. None of them agreed that Shell and IUCN are communicating effectively with their broader constituencies (Figure 27: the chart captions are abbreviated). But a majority of Shell respondents, too, felt that the partners are not doing well enough in this regard (Figure 26).

**Recommendations**

8. The RMs should communicate more actively within their respective organisations about the purpose, structure, activities and performance of the partnership.
9. Through fuller and more regularly updated material on its website, the IUCN Secretariat should communicate more proactively with its Council, Members, Commissions and broader constituency about the purpose, structure, activities and performance of the partnership, giving greater detail about the rationale, intentions and achievements while ensuring full transparency about the constraints and concerns.

**5.4. Operational efficiency**

It has been shown above that two key efficiency factors – clarity and communication – are hindering the effectiveness of the Shell-IUCN partnership. General operational efficiency is a constraint too. Although the original (2008) secondments were able to engage fairly promptly with the work programmes of their respective host organisations, joint project activities are developing more slowly than anticipated. Both sides express concern about bureaucratic and legal delays. Some of the planned joint programmes, notably on the

*Example: it took Shell over half a year to make a decision on the North Sea proposal. That is not efficient.*

*Shell is slow. IUCN are slow. Equals 2x slow.*

*Good discussions on TOR of two Arctic projects. However neither of them have commenced due to contractual issues and lack of flexibility to start the work prior to finalization of contracts. No sense of urgency to resolve issues.*

*For the small project we have, our activities have been successful and on time. It requires strong project management – which is time consuming.*

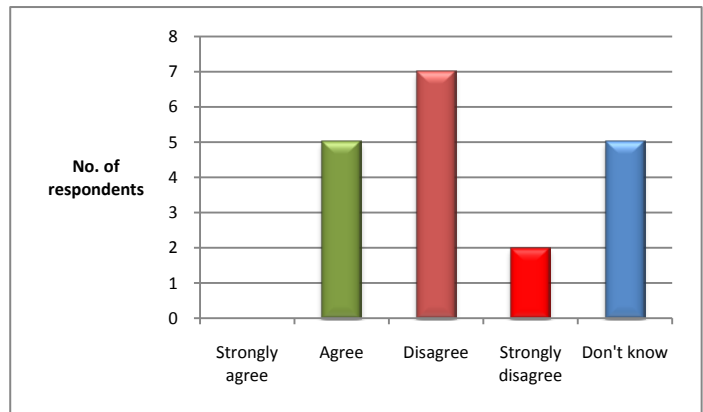
*Direction is OK but speed of progress is slow.*

*...Biofuels and the Biodiversity Action Plan review, both of which... have had sufficient support by senior management, are the two projects where the partnership is making significant progress.*

Comments by Shell and IUCN questionnaire respondents

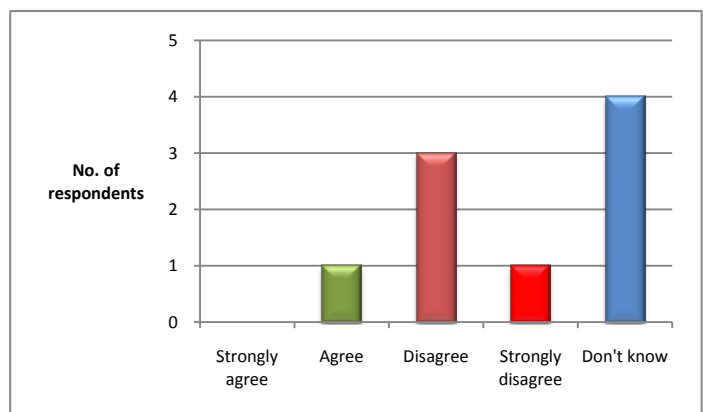
Arctic and the North Sea, have been subjected to protracted negotiations. Disbursement to IUCN from Shell for the 2009 base work programme did not occur until the middle of that year, although the 2010 transfer has been made during the first quarter. The partnership has so far not been enough of a priority for top management on either side to generate decisive instructions to expedite action. The TOR of the recent Shell secondment (section 4.4) do reflect growing concern about the problem and – while risking confusion about the role of the Relationship Managers – may lead to enhanced operational efficiency.

Shell International and the IUCN Secretariat have both undergone major reorganisations since this partnership started. Although operationally significant, the IUCN restructuring into groups and networks was not a major disruption to implementation of partnership activities with Shell. The company’s reorganisation, on the other hand, resulted in many new job descriptions and widespread reassignments of senior managers. This is one reason why those in Shell who were contacted for this review were often incompletely informed about the partnership – and in some cases had to say that they knew virtually nothing about it at all.



**Figure 28. Shell respondents: 'so far, partnership has been efficient in achieving its intended outputs'**

Overall, as can be seen from Figure 28 and Figure 29, a majority of both Shell and IUCN respondents feel that the partnership has so far been inefficient in achieving its intended outputs. Ignorance about what the partnership is trying to do is reflected in the substantial number of ‘don’t knows’ in both groups. As was noted in section 3.3, inefficiency and slow delivery are an increasingly urgent problem for IUCN in this partnership. There is a general belief that the relationship with Shell will be difficult to defend at and beyond the 2012 World Conservation Congress if demonstrably satisfactory outcomes have not been achieved by that time. This means that efficiency will have to improve on both sides – even though, as this review has observed, most of the major programmes that the partners have chosen to tackle will inevitably take longer to achieve full fruition.



**Figure 29. IUCN respondents: 'so far, partnership has been efficient in achieving its intended outputs'**

A basic problem for the partnership is that, like many modern organisations, both Shell and IUCN have overloaded their senior personnel with roles and responsibilities. Faced with a vast range of tasks and challenges, neither is optimally structured or organised to respond to them with its limited human resources, despite recent rearrangements. Consequently, each views the other as operationally inefficient – failing to respond to opportunities, to deploy resources to optimal effect, to devote sustained management attention to the partnership, or to ensure adequate communication. On both sides, the partnership is one small item in a very long list of priorities. Those directly responsible for it have not been able to drive it as far up the list, and achieve as many fruitful outcomes, as they would have wished.

## 6. Summary assessment of the partnership

### 6.1. Three modes of collaboration

The IUCN-Shell partnership should comprise three modes of collaboration.

- The most obvious focus for the partnership is the series of **projects** that have been identified and partially developed. Although there is a clear and useful distinction between the base programme of activities directly funded by the core partnership budget that Shell provides, the categorisation into Levels 1, 2 and 3 has not been used systematically. For example, progress reports to and discussion by the Steering Committee are not structured by Level – although the distinction between top level management interaction (1) and projects funded by companies in the Shell Group (2 and 3) is well understood. Some minor activities, such as tackling the problems of bears around a Shell site in the Salym fields, have been completed successfully. Only two of the larger-scale activities have achieved significant progress: collaboration on biofuels and the review of Shell's Biodiversity Action Plans. Much of the concern that is expressed about the progress and effectiveness of the partnership arises from the generally slow performance of both parties in driving the project portfolio forward. Although some of the project activity has been local in scope, all of it has been driven from the partners' headquarters. Little has been done so far to exploit the strong potential for regional and country level collaboration.
- The **secondments** constitute a second dimension of the partnership. Between 2008 and 2010, work by the two seconded staff has constituted a major part of the partnership's output – although this is not always recognised. The two individuals have been embedded in their host programmes and units and, while working partly on activities specifically identified as part of the partnership, have made significant broader contributions to enhanced capacity and evolving paradigms. In the process they have built their own capacity and will have new skills and experience to apply to their own organisations on return. The TOR of the new Shell secondment to IUCN focus strongly (but not exclusively) on expediting slow moving projects. This convergence of the first and second modes of collaboration may be necessary at this point, but risks diminishing the broader contribution that the secondment can make in the host organisation.
- **High level strategic collaboration** is the third mode of collaboration within the partnership. So far, it has mainly comprised the increasingly cordial consultations, briefings, meetings and occasional site visits by and between top management of the two organisations. There is scope for much more to be done at the strategic level. While some of the projects being developed out of the base programme have a broad strategic scope (such as those for the Arctic and the North Sea), the partners have not yet engaged adequately on longer-term issues of climate change, global energy futures, environmental impact and sustainability strategy. For IUCN, the two key strategic concerns are the environmental footprint of the energy industry, and achievement of a lower carbon future for humanity, with all that implies for climate change. This strategic, global scenarios level is where the partners can arguably contribute most to each other and to a sustainable future for the planet. Working jointly on small-scale activities is not cost effective for partners like IUCN and Shell. But both organisations have strong capacity for global review of medium- to long-term environmental challenges. So far there has been relatively little interface between them in this regard. As one informant put it, most of the joint project work that has emerged so far is remediation or mitigation, not the strategic or scenario work that is most urgently needed. There are predictable and deep-seated differences in environmental outlook and technical attitudes between Shell and IUCN, recently exemplified by IUCN's criticism of Shell's supposed withdrawal from some renewable energy work and its general scepticism about Shell's deep faith in technological solutions to sustainable energy challenges. But this should primarily be an upstream partnership – which means, however, that joint activities will take time to develop and even longer to generate

tangible outcomes. Given IUCN's political realities, time is a luxury that the partnership does not have.

## 6.2. Achievements

Questionnaire respondents from both IUCN and Shell confirmed that this partnership is helping to build more effective synergy between the two organisations. Constructive and cordial relations have been developed between top management on the two sides. Progress has been made with a limited number of larger-scale, longer-term joint efforts such as biofuels and with a few smaller activities that are essentially marginal to the intended character and purpose of the partnership. Foundations have been laid for other substantial areas of collaboration, notably in the Arctic, but the slow progress referred to above means that it is not yet possible to assess the effectiveness of these activities.

Informants also refer to intangible benefits accruing from the partnership (see boxes below). In sum, these reflect a deeper understanding of the environmental and business sectors respectively, combined with the perception that each organisation is able to work more effectively towards its own goals – Shell with better skills to achieve environmental sustainability, and IUCN with a better understanding of the private sector, as well as an enhanced ability to convene broader groups of private and public sector interests to conserve nature and promote the sustainable use of natural resources.

However, a number of IUCN informants reported the view that, so far, Shell has benefited more from the partnership than IUCN has. While recognising the budgetary contribution that Shell makes, they argue that the overall trend of the relationship to date has been more towards IUCN provision of advisory services to Shell than towards adjustments in Shell behaviour and impacts that would help achieve IUCN's objectives.

To strengthen and accelerate the limited progress that has been made to date, respondents in both IUCN and Shell understandably feel that sustained high level management commitment is needed. There is a

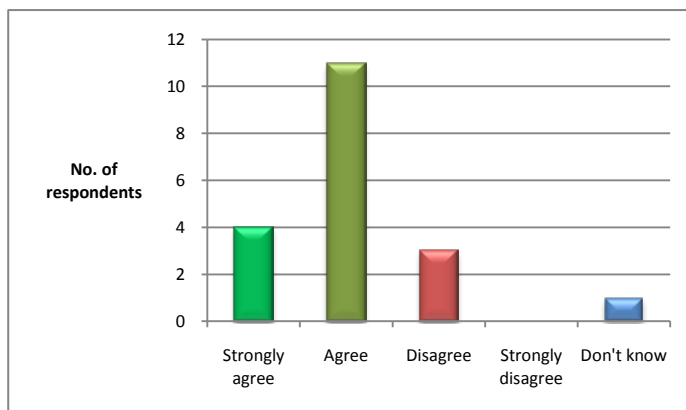


Figure 30. Shell respondents: 'partnership helping to build more effective synergy'

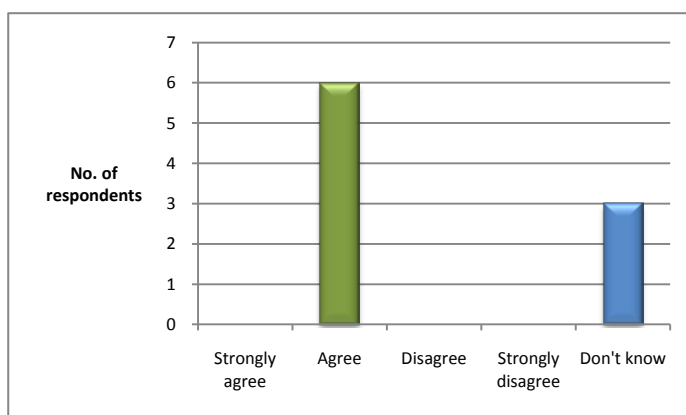


Figure 31. IUCN respondents: 'partnership helping to build more effective synergy'

### Intangible benefits identified by some Shell respondents

*Reputation*

*Relationship building*

*Access to scientific data*

*Internal discussion about our biodiversity performance*

*Critical thinking partner*

*Better understanding of stakeholders*

*Mutual understanding, awareness of the potential role that IUCN experts could play in sensitive areas*

*Widening awareness of the ability NGOs have to derail Shell projects, and that working with NGOs rather than trying to control them makes good business sense*

*Credibility through co-operation with well established and credible environmental partner*

widespread view that, so far, the partnership has not been enough of a central priority for either organisation, and has suffered from this lack of top management attention. Some Shell informants point to the logic of such a strong commitment, being convinced that independent third party scrutiny of their operations helps them to comply with increasingly stringent regulatory frameworks and identify and contain non-technical risk. They argue, too, that partnership with what they consider a uniquely prestigious world environmental body is a real business advantage for their company, putting them ahead of their competitors. People in both organisations urge that, to build a truly successful partnership, there must be more intensive technical collaboration between staff on both sides – not just between the facilitators and co-ordinators. Multiplying the staff interfaces – at country and regional levels as well as in global programmes – will be the way to add real value through this collaboration. This is inevitably a challenge, however, given the time and resource constraints on personnel in both organisations.

### 6.3. Constraints

The primary constraint on this partnership concerns feasibility and expectations. As often happens at the start of a partnership, the two sides were too optimistic about the time it would take to develop and implement their joint activities. Neither forecast how much they would be hindered by the bureaucracy and legal requirements in both organisations. Both underestimated the amount of high level and technical management effort would be needed to get joint activities going. Neither has provided as much of these valuable commodities as was needed. A further dose of realism has affected IUCN in particular. This arose from the political pressure for the partnership to perform fast enough to confound the critics who may otherwise redouble their calls to cancel it at the next World Conservation Congress in two years' time. With its now established tradition of project funding from government donor agencies that typically expect implementation over three to five year periods, IUCN stands in

#### **Intangible benefits identified by some IUCN respondents**

*IUCN has been forced to look at its business/financial model as well as its business processes. Although this is a bigger project for IUCN, the Shell partnership did contribute to advancing these issues.*

*How to work with business and talk their language – they always need the business case, we need to be clearer in our messages to make the benefits clearer to business.*

*Our relationship with Shell has enabled us to convene many more parties than we would have otherwise around biofuels sustainability issues... So... wider convening power... particularly with the private sector.*

*Better understanding of how the corporate sector works and approaches considering biodiversity in decision making.*

*Internal learning in the organisation regarding these partnerships, and how to place the organisation in a credible and mature position regarding industry engagement. This involves confronting some parts of the IUCN constituency as well as industry bodies.*

#### **Intangible costs identified by some Shell respondents**

*Raising expectations beyond our ability to really deliver.*

*Scrutiny and exposure (not necessarily a cost – but perhaps a risk perceived by some). Could we get the same level of co-operation and support from IUCN and its network of NGO and academic expertise without the overhead cost of the formal partnership?*

*Management time spent in many co-ordination meetings etc.*

#### **Intangible costs identified by some IUCN respondents**

*A loss of reputation for objectivity and neutrality. Loss of trust between Secretariat and some Members*

*It takes a lot of time to manage even the small project we have with Shell – and it takes much longer time as they don't respond quickly... I wasted a lot of time chasing up payments. It's unfair given that we're such a smaller organisation and don't have the same human resource base.*

*The partnership has helped IUCN (or at least some people in IUCN) understand the challenges of integrating biodiversity into a large company.*

*Internal soul-searching about the Union's ability to positively affect biodiversity conservation, with or without private sector engagement.*

contrast to Shell, whose major projects in the energy sector may unfold over a decade or more. Despite its long-term global perspective on environmental sustainability, IUCN feels a pressure to perform in the short to medium term. Shell is at least partially insulated against such pressures.

A further major constraint has been the lack of consensus in IUCN about partnerships with the private sector in general and with Shell in particular. The rancorous debate about the Shell partnership at the Barcelona Congress was not a major brake on the progress of joint activities, although IUCN's input to this work suffered in the same way as all its other programmatic activity from the quadrennial disruptions and distractions that the Congress always imposes. But both IUCN and Shell must proceed in this partnership against the background of an IUCN constituency that only partly supports it. Scepticism is not restricted to IUCN Members. There are those in the Secretariat, too, who retain deep misgivings about the advisability of working so closely with Shell. To succeed, this partnership must be built on open, solid trust between the parties. In IUCN, that trust is not yet strong. Shell is not united in its commitment to such relationships, however. Particularly at the local operational levels (in probable contrast to IUCN), some of the company's personnel are sceptical about what practical value these links can add. But trust is less of an issue on the Shell side. The few senior managers with an active understanding of the relationship can clearly see the constraints on IUCN's participation, but still believe that it makes good business sense to pursue it.

A third set of constraints has already been mentioned: the slow bureaucratic performance of both organisations. IUCN has learned that Shell's contractual, procurement and payment procedures can be at least as slow as its own. Indeed, one senior Shell manager expressed doubt about the value of a partnership focus on transfer of Shell business management skills to IUCN, wondering how much the former would really have to teach the latter. There have been multiple frustrations on both sides at the time it takes to process each action in the cycle of project preparation and implementation. These frustrations have been compounded by the disruption of the two partners' internal reorganisations, with that of Shell proving a particular drag on progress during 2009. Furthermore, neither partner has the human resources to achieve joint progress at the desired speed. Despite recent cutbacks, Shell has a greater depth of expert technical personnel in most fields, while IUCN's relatively few Secretariat staff are heavily overloaded and must choose carefully what activities they can most feasibly undertake. Their choice has not always fallen on Shell partnership projects.

#### **6.4. Achieving success**

Some success has already begun to emerge along the road that the IUCN-Shell partnership has travelled so far. To consolidate and expand upon that success, the partners' joint activities should have the following characteristics.

- They should build true partnership, with each party recognising and respecting the other's strengths and constraints, and with neither party expecting to transform the other or to achieve a full convergence of views. Where possible, they should avoid structuring or perceiving partnership activities as contracted service provision by one party to the other. As true partners, IUCN and Shell should engage in open, active and structured communication on each of these joint activities.
- Within such a partnership, joint activities should focus on medium- to long-term, medium to large scale thematic, ecosystem and scenario assessment and planning, rather than shorter-term or more localised issues. This does not mean that outputs and outcomes can only be achieved in the medium to long term. Such activity should be structured so that there are early and demonstrable results, even if these only prove that appropriate and valuable joint processes have been launched. Work of this nature can be undertaken at global, regional or national scales. It does not all have to be driven from the partners' headquarters.
- Joint activities should respond to the partners' shared perception of need and of capacity to address that need. If the producers or users of an output need to be coaxed into the process, success is less likely.

- They should be designed to facilitate simple and unambiguous monitoring of their performance and completion. Monitoring and reporting arrangements should be simple, clearly assigned and efficiently performed.

## 6.5. A partnership assessment tool

Various methods have been developed for the structured assessment of partnerships. Review of the literature did not identify one that could appropriately serve as the central instrument for this review. However, a partnership assessment tool developed for the United Kingdom government does offer a useful way of summarising the status of the IUCN-Shell partnership (Hardy *et al.*, 2003). It was designed for use, much like the survey questionnaires used for this study, as a series of statements that participants would score on the basis of agreement or disagreement. These statements are grouped under six 'partnership principles'. Rather than offering a score on an agreement/disagreement scale, Table 1 below shows each of the normative statements presented by the UK government tool, and offers a summary statement about the IUCN-Shell partnership. Not all the statements are directly applicable to this partnership, of course, as they were developed for partnerships involving public sector agencies. As a possible stimulus to critical reading of the table, the reviewer's summary judgment is shown in colour in the right hand column.

**Table 1. Summary partnership assessment**

<b>Principle 1: recognise and accept the need for partnership</b>		
<i>There have been substantial past achievements within the partnership.</i>	Limited so far.	
<i>The factors associated with successful working are known and understood.</i>	Knowledge and understanding of these factors are growing, but not yet fully achieved.	
<i>The principal barriers to successful partnership working are known and understood.</i>	Knowledge and understanding of these barriers are growing, but not yet fully achieved.	
<i>The extent to which partners engage in partnership working voluntarily or under pressure/mandation [sic] is recognised and understood.</i>	Both partners recognise that joint activities are voluntary but that, having committed to a formal partnership, they have some obligation to deliver.	
<i>There is a clear understanding of partners' interdependence in achieving some of their goals.</i>	This understanding is stronger in Shell than in IUCN, where some are unconvinced of any dependence on the private sector in achieving the Union's goals.	
<i>There is mutual understanding of those areas of activity where partners can achieve some goals by working independently of each other.</i>	Yes.	
<b>Principle 2: develop clarity and realism of purpose</b>		
<i>The partnership has a clear vision, shared values and agreed service principles</i>	Partnership agreement states broad, ambitious vision. Limited commitment to shared values. Service principles: not applicable (NA).	
<i>The partners have clearly defined joint aims and objectives.</i>	Objectives stated in broad, ambitious terms: performance difficult to measure objectively	
<i>These joint aims and objectives are realistic.</i>	Not realistic within five year time frame of agreement: more vision than objectives.	
<i>The partnership has defined clear service outcomes.</i>	NA.	
<i>The reason why each partner is engaged in the partnership is understood and accepted.</i>	Understood, but not universally accepted, especially on the IUCN side.	
<i>The partners have identified where early partnership success is most likely.</i>	Growing realisation that quick wins mostly on a small scale of limited relevance to partnership objectives.	
<b>Principle 3: ensure commitment and ownership</b>		
<i>There is a clear commitment to partnership working from the most senior levels of each partnership organisation.</i>	Yes – but participants say that not this commitment not converted into sufficient dedicated senior management time.	
<i>There is widespread ownership of the partnership across</i>	Not true on either side.	

<i>and within all partners.</i>		
<i>Commitment to partnership working is sufficiently robust to withstand most threats to its working.</i>	No. Most staff on both sides appear to consider this partnership an optional approach to their work programmes.	
<i>The partnership recognises and encourages networking skills.</i>	Such skills recognised as essential in IUCN, but not specifically for this partnership. Not so relevant in the company structures of Shell.	
<i>The partnership is not dependent for its success solely upon individuals with these skills.</i>	True.	
<i>Not working in partnership is discouraged and dealt with.</i>	Not true – see above.	
<b>Principle 4: develop and maintain trust</b>		
<i>The way the partnership is structured recognises and values each partner's contribution.</i>	True.	
<i>The way the partnership's work is conducted appropriately recognises each partner's contribution.</i>	Staff perceptions are that their efforts not always adequately recognised by the other side.	
<i>Benefits derived from the partnership are fairly distributed among all partners.</i>	Not yet applicable.	
<i>There is sufficient trust within the partnership to survive any mistrust that arises elsewhere.</i>	Partnership remains vulnerable to strong mistrust in the IUCN constituency.	
<i>Levels of trust within the partnership are sufficient to encourage significant risk-taking</i>	Not true – and, more to the point, budgetary, time and management constraints preclude such risk taking.	
<i>The partnership has succeeded in having the right people in the right place at the right time to promote partnership working.</i>	Partially true: secondments have promoted partnership working but, despite best efforts, RMs have not been able to penetrate their organisations and promote it effectively.	
<b>Principle 5: create clear and robust partnership agreements</b>		
<i>It is clear what financial resources each partner brings to the partnership.</i>	True.	
<i>The resources, other than finance, that each partner brings to the partnership are understood and appreciated.</i>	True overall, though individuals may feel their strenuous efforts are not always fully understood and appreciated.	
<i>Each partner's areas of responsibility are clear and understood.</i>	Partially true: partners still exploring what exactly each side will do, and formal clarification is protracted.	
<i>There are clear lines of accountability for the performance of the partnership as a whole.</i>	True.	
<i>Operational partnership arrangements are simple, time-limited and task-oriented.</i>	Projects range from those that satisfy these criteria to those that are complex, open-ended and involve multiple tasks at different levels of definition and operation.	
<i>The partnership's principal focus is on process, outcomes and innovation.</i>	Process was largely taken for granted, which has proved a constraint. Focus has been on outcomes, but not enough attention to scenario/strategic thinking on innovation.	
<b>Principle 6: monitor, measure and learn</b>		
<i>The partnership has clear success criteria in terms of both service goals and the partnership itself.</i>	Stated overall objectives broad and ambitious. Performance indicators brief and inadequate.	
<i>The partnership has clear arrangements effectively to monitor and review how successfully its service aims and objectives are being met.</i>	Monitoring has not proceeded as planned. This mid-term review is the first systematic attempt to assess progress overall.	
<i>There are clear arrangements effectively to monitor and review how the partnership itself is working.</i>	Partnership agreement provides for annual review by Steering Committee, but this has not occurred in a structured manner.	
<i>There are clear arrangements to ensure that monitoring and review findings are, or will be, widely shared and disseminated among the partners.</i>	Arrangements for sharing and dissemination have not yet been specified.	



<i>Partnership successes are well communicated outside of the partnership.</i>	True, but limited success to communicate at this stage.	
<i>There are clear arrangements to ensure that partnership aims, objectives and working arrangements are reconsidered and, where necessary, revised in the light of monitoring and review findings.</i>	Only provision in partnership agreement is for assessment at end of five year term of the agreement to help determine whether and how to continue it.	

Table criteria and format based on Hardy *et al.* (2003).

## 6.6. Ways forward

The key way forward for this partnership is defined by the political realities surrounding IUCN's participation in it. Effort must focus on achieving demonstrable outputs that help to meet the objectives of both partners by early 2012, when the shape of debates at that year's World Conservation Congress starts to be determined through the preliminary formulation of the motions that will be put forward. If this cannot be achieved, the IUCN Secretariat may not be able to continue the partnership beyond its current five year term.

*The bottom line – don't confuse process and outcome. Build trust through personal relationships. All these things take time. Both sides need to spend much more effort to achieve that. And they have to make sure that successes are communicated so both organisations realise that there is value in this.*

Shell informant.

If this cannot be achieved, the IUCN Secretariat may not be able to continue the partnership beyond its current five year term.

## Recommendations

10. Activities on which this drive for delivery should focus include:

- reinforcement of existing achievements on Shell's Biodiversity Action Plans, and demonstration by the company of the difference these make to its impact on nature;
- continuing progress in the biofuels sector, with specific agreement now by the partners about what measurable and demonstrable outcomes they will have achieved by early 2012;
- achievement of the proposed strategic impact assessment in the Arctic, and Shell response to this study indicating what beneficial results the assessment is likely to have;
- launch of and initial outputs from the Arctic ROMO exercise, with communications from both partners explaining the practical benefits for the Arctic environment.

11. The partners should plan to produce a clearly structured public report in early 2012 that demonstrates the progress achieved by the partnership while also providing a candid statement of the setbacks, constraints and lessons identified in the joint experience up to that time. Such a report should provide the basis for transparent decision making and debate in IUCN about the future of the partnership.

The various attempts so far to transfer business, management and organisational skills from Shell to IUCN have been fragmented and inconclusive. Although some doubts have been expressed about the efficacy of such efforts, the consensus is that they are worth developing in a better structured and more proactive manner.

## Recommendation

12. The Relationship Managers should develop a structured work plan and budget for a 12 month programme of business skills transfer by Shell specialists to IUCN Secretariat staff at headquarters and in selected regional offices, for implementation during 2011.

So far, awareness of this partnership, and work on its activities, have been focused at headquarters level in the two organisations – and have been inadequately communicated and adopted even at that level. The partnership will be better able to achieve its objectives if these two constraints are overcome. There are strong indications from both sides that activity at regional and country levels would be appreciated and beneficial. It would multiply the opportunities to achieve demonstrable successes in the short to medium term.

### **Recommendations**

13. Joint activities should be set up at regional and/or country levels. The planned development of partnership activities between Shell and the IUCN Asia Regional Office, and potentially at country level in that region, should be expedited. Opportunities for similar collaboration should be sought actively in other parts of the world. Such regional or national level work should include secondments and joint projects. It should address broad, longer-term themes and scenarios, not localised or site-specific issues. In all cases, exploration of links at these levels should proceed in full consultation with IUCN Members.

Shell has better structured processes for long-term strategic thinking about energy and the environment than IUCN does; but Shell recognises the enormous and respected scientific contribution that IUCN makes to such global debates.

### **Recommendation**

14. The partners should develop structured engagement on 21<sup>st</sup> century scenarios. The partnership should be able to demonstrate that IUCN is actively and constructively involved in Shell's thinking about the future of energy, climate and natural resources and its own impact on nature. This will help to legitimate it from the IUCN perspective and create a clear business advantage from the Shell perspective.

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

### **Purpose of the Review**

The Collaborative Partnership Agreement between Shell and IUCN calls for “a review of the collaboration to evaluate to what extent its objectives are being met”.<sup>1</sup> These objectives are:

1. To enhance biodiversity conservation performance by Shell and its Affiliates as a measure of their sustained profitable operations,
2. To raise biodiversity performance standard in the energy sector and its supply chain, and
3. To strengthen IUCN capacity for leadership in business and biodiversity.

The TOR of the Steering Committee refers to this mid-term review being external.

In addition to the above requirement, the review serves a broader learning purpose for both IUCN and Shell: it could identify where improvements can be made to the implementation of the partnership programme of work and suggest decisions on course correction as might be warranted.

Shell’s interests in the review also include feedback on the strategic value that this Agreement brings as an innovative tool in managing complex projects with considerable non-technical risks.

### **Commissioners of the review**

The review is being commissioned by Ms. Julia Marton-Lefevre, Director-General of IUCN, and Malcolm Brinded, Executive Director Upstream International RDS.

### **Audiences for the Review**

Audiences include:

- Relationship manager in IUCN / Business and Biodiversity Programme
- Strategic Partnership manager in Shell International
- Steering Committee members of both IUCN and Shell
- Programme Directors and Senior Management Teams of IUCN
- IUCN Council members
- IUCN regional heads of office
- Executive Leadership team members in Shell’s Upstream and Downstream business
- Shell Project managers, portfolio, and theme leaders
- Shell subject matter experts on biofuels, biodiversity, arctic, and environment
- IUCN Membership, as they may also find this review useful in expressing their views on the value of this Agreement.

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<sup>1</sup> Collaborative partnership Agreement, article 12.2

## Scope of the Review

The scope of the Review includes the strategic dimension of the Shell - IUCN Partnership as an innovative and value adding tool to both Shell and IUCN as well as the operational delivery of results, the quality and effectiveness of the Partnership, and its management and governance. The Review will cover the period from October 2007 until December 2009.

## Specific Objectives of the Review

1. Assess the relevance and rationale of the Partnership in relation to the strategic objectives of Shell and IUCN. This includes assessing the alignment of the Partnership with the priorities of Shell and IUCN, and the satisfaction of the executives of both organizations with the synergy and innovation of the Partnership.
2. Assess the effectiveness and effects of the programming of the Partnership. This includes the achievements of outputs and outcomes of the Collaborative Partnership Agreement, the influence of the Partnership, its unplanned effects, and the evolution of the relationship and trust between the parties in undertaking the work programme of the Partnership.
3. Assess the effectiveness of the management, leadership, and governance of the Partnership, and the communication within and between both organizations. This includes an assessment of how well the Partnership is being led and managed (planning, implementing, resourcing, monitoring, and engaging stakeholders) and how transparent and accountable the management and governance of the Partnership is to key stakeholders of both organizations.
4. Assess the cost effectiveness of the Collaborative Partnership Agreement in relation to the results achieved. In particular, assess the costs and benefits to both Shell and IUCN and the transparency of the Partnership.
5. Identify the current factors that support and hinder the fulfilment of the Collaborative Partnership Agreement.
6. Suggest improvements that can be made to the implementation of the partnership programme of work and suggest decisions on course correction as might be warranted.

The Review should make use of the process and outcome indicators as developed by the Partnership to measure progress against the Partnership objectives.

## Methodology

The Relationship managers are developing a Review Matrix with suggested key issues and questions relating to each objective. The review team is expected to further develop and add to this Matrix in consultation with the Relationship managers. The final Review Matrix will be prepared as the first deliverable of the Review and will provide a framework for the key issues to be addressed and the data sources that will be used in the Review. Adequately addressing the key questions in the Matrix will be the basis for Shell and IUCN to jointly sign off on the completeness of the Review report.

Mixed methods will be used for the Review of the Shell IUCN Collaborative Partnership Agreement. A combination of semi-structured interviews, a survey of users of the Partnership's products, and a review of lessons learned are among the methods that will be explored in finalizing the methodology and work plan for the Review. Innovative and new approaches to assessing partnerships are welcomed in finalizing the methodology.

To ensure a high quality of data collection and analysis, the data collection tools (interview protocols, survey instruments, and documentation analysis criteria) developed by the review team will be signed off by the Relationship managers. All data collection tools are to be included as an Annex to the Final Report. The link between Review questions, data collection, analysis, findings, and conclusions must be clearly made and set out in a transparent manner in the presentation of the Review findings.

The Shell - IUCN Steering Committee will convene a meeting after the review to discuss the results and next steps.

### **Qualifications of the Review Team**

The Reviewer / Review Team Leader must be an experienced evaluator with a minimum of 10 years experience conducting and managing organizational reviews. A significant focus of his/her review practice must be in reviewing partnerships. He/she must also meet the requirements outlined for the Review Team members.

Review Team Members are required to have the following experience and qualifications:

- Relevant degrees at the Masters level or higher in development, environmental management, business, or organizational development.
- Minimum 5 years experience working with international organizations in the not-for-profit and/or business sector in Asia, Latin America, Africa, Europe, and/or North America.
- Minimum 5 years experience in evaluation, preferably on organizations and partnerships.
- Experience with the private sector, preferably with the oil& gas industry.
- Ability to work and write in English.
- Ability to interact and communicate well to senior managers in Shell and IUCN.
- Excellent interview and qualitative data analysis skills.
- Ability to facilitate learning and transfer of knowledge to Shell and IUCN staff throughout the review process.

Any member of the Review Team or the organization he/she is employed by should not be linked to Shell and IUCN, either directly or indirectly, now or in the recent past.

If applicable, the Review Team Leader will present the members of his/her Team for approval by the respective Shell and IUCN Relationship managers.

### **Travel Required**

The Review Team is required to travel for orientation and interviews to the Headquarters of Shell in The Netherlands and to IUCN in Switzerland. No travel to field sites is anticipated, as the data required from users in the field can be collected by telephone interviews and through document review.

### **Management of the Review**

The Relationship managers will ensure that the Review Team has access to key stakeholders. Also they will provide technical and administrative support to the review team, overseeing the conduct of the Review according to the agreed methodology and workplan, handling contractual matters, and providing necessary documentation from IUCN and Shell. They will ensure that the outcome is communicated widely within both Shell and IUCN and that key management decisions are made.

Management, budgetary, and work plan decisions will be jointly reviewed and agreed upon by Shell and IUCN.

### **Deliverables**

The following deliverables are expected of the review team:

1. An inception report that includes:
  - a. Final methodology, including proposed approach to the Review, refined Review Matrix, proposed methods, indicators, list of stakeholders to be consulted, set of data collection tools, and outline of final report.
  - b. Detailed work plan and timeframe.
  - c. Detailed budget for each component.
2. Preliminary findings and emerging issues (if appropriate – to be decided).
3. Draft report.
4. Final report with annexes with all data collection tools.

The Review findings and recommendations will be presented, by the Review Team, to a joint meeting of the Steering Committee and the Relationship managers of the Shell - IUCN Partnership.

### **Timeframe**

The Review is to take place in Q1, 2010 and must be completed by the end of March 2010.

A more detailed time schedule will be developed with the Review Team.

### **Budget for the Review**

The budget for the Review is set for € .....

- A detailed budget, methodology, and work plan will be submitted by the Review Team Leader for approval by the Relationship managers, and will include a detailed breakdown of costs for:
- Consultants fees – breakdown by consultant and by time allocated per area of the review, for different types of data collection, and for analysis and report preparation;
- Travel and expenses; and
- Communication costs - phone, printing, etc.

## Annex 2. Review matrix

Review area	Question	Sub-question	Indicator(s)	Data source/collection method
Relevance and rationale	To what extent is the collaborative partnership still relevant to both IUCN and Shell?	To what extent is the partnership relevant to the strategic objectives or priorities of IUCN and Shell?	Degree of alignment of intended work of the partnership	Document review (planning documents related to the partnership, IUCN Programme, Shell equivalent) Interviews
		To what extent is the partnership perceived as being relevant to the strategic objectives or priorities of IUCN and Shell?	Perception of degree of alignment	Interviews
		To what extent are stakeholders in IUCN and Shell satisfied with the synergy and innovation of the partnership?	Degree of satisfaction	Interviews
Effectiveness and effects of the programming of the Partnership	How effectively has the partnership achieved the objectives and scope as agreed in the collaborative partnership agreement?	To what extent does Shell have the strategies, approaches and tools necessary for the Shell Group to be the conservation leader in the energy sector?	Early indicators of development of appropriate strategies, approaches and tools Perception of other energy sector leaders	Shell documentation, interviews
		To what extent does IUCN and the broader conservation community have capacity, business skills, access to resources and influence to achieve a significant reduction in the loss of biodiversity?	Growth and extent of IUCN's engagement with the private sector since the commencement of the agreement Growth and extent of the broader conservation community's engagement with the private sector (related to IUCN's intervention)	Workplans (particularly regional and other global thematic), interviews Interviews with selected stakeholders (i.e. members) purposefully selected
		To what extent have Shell and IUCN been able to contribute to changing the policy arena, both public and corporate	Presence and application of Biofuels policy and roundtables (tangible) Evidence of an emerging level playing field for Shell	"level playing field"
		What effects has the partnership created?	Where and how have Shell and IUCN added value to each other's work?	Evidence and/or perception of value added by Shell and IUCN
		To what extent has Shell been able	Biodiversity standards and action	Interview Deric Quaile, Virpi Stucki



Review of the collaborative partnership agreement between Shell International and IUCN

Review area	Question	Sub-question	Indicator(s)	Data source/collection method
		to improve its performance related to biodiversity performance standards in the energy sector and supply chain?	plans	(Biodiversity Action Plans)
		What tangible effects has the collaboration had on the policy arena – both public and corporate?	Presence and application of Biofuels policy and roundtables (tangible) Evidence of an emerging level playing field for Shell	Document review and interviews
		What unplanned results or outputs have occurred?	Unplanned results or outputs	
Effectiveness of the management, leadership and governance of the partnership	To what extent has the Steering Committee effectively governed the partnership?	How well have the strategic elements of the partnership been managed?	Perception of effective management; functioning of the partnership	Interviews, evidence of functioning
		Have acceptable workplans been developed and used?	Workplans, references to use, clear outputs and outcomes	Workplans, interviews
		Had the Steering Committee evaluated the partnership regularly and produced an assessment?	Evaluation or assessment reports	Document review, interviews
		Have recommendations generated by periodic evaluations been used? TO what effect?	Recommendations, evidence of use	Document review, interviews
	To what extent have the output and outcome indicators been useful in enhancing performance of the partnership at operational and strategic levels?		Output and outcome indicators, evidence of use	Indicator list, interviews
	To what extent have the Relationship Managers been effective in ensuring the effectiveness and efficiency of the partnership?		Perception of effectiveness, functioning of the partnership	Interviews, document review
	What other arrangements – formal or informal – have contributed to the management, leadership and governance of the partnership?		Other arrangement – e.g. special committees, etc	Document review, interviews
	To what extent have the provisions in the agreement been observed?	Regarding intellectual property and confidentiality?	Evidence of compliance/ non-compliance	Official correspondence, interviews
Regarding any other aspect of the agreement?		Evidence of compliance/ non-compliance	Official correspondence, interviews	

Review of the collaborative partnership agreement between Shell International and IUCN

<b>Review area</b>	<b>Question</b>	<b>Sub-question</b>	<b>Indicator(s)</b>	<b>Data source/collection method</b>
Cost effectiveness	To what extent does the agreement represent good value for money for Shell and IUCN?		Perception of value for money	Interviews
	Is the level of resourcing on both sides adequate to effectively deliver the objectives and intended outcomes of the agreement?		Delivery of agreed workplans, objectives, perception of adequacy	Document review, interviews
Factors supporting or hindering the fulfilment of the agreement	Based on the questions and issues raised above, what are the factors that support or hinder fulfilment of the agreement		Factors	Synthesis from above
Loss of opportunities (counter-factual)	What evidence can be gathered of the potential situation that would prevail had Shell and IUCN not formed this partnership agreement?		Evidence from places where IUCN and Shell are not collaborating (but could or ought to be)	Interviews, synthesis from above, comparison of places where IUCN and Shell collaborate with places where they do not

### Annex 3. Persons interviewed

J.M. Alvarez	Director, Economy and Environmental Governance Group, IUCN
A. Athanas	Senior Programme Officer, Business and Biodiversity Programme, IUCN
S. de Bie	Manager, Strategic Partnerships, Shell
J. Bishop	Chief Economist, IUCN
R. Blaauw	Business Development Manager, Shell
A. Castelein	Vice President, Environment, Shell
J. Cochrane	Global Manager, Sensitive Areas, Shell
K. Corley	Manager, Environment, Upstream Americas, Shell
I. Crawford	Vice President, Health, Security, Safety, Environment and Social Performance Assurance, Shell
R. Decyk	Executive Vice President, Global Government Relations, Shell
M. Hasler	Finance Group, IUCN
D. Hosack	Relationship Manager, IUCN
W. Jackson	Deputy Director General, IUCN
S. Kapila	Manager, Environmental Footprint, Shell
J. Kidd	Head, Global Communications, IUCN
S. de Koning	Communications, Carbon Capture and Storage, Shell (former Shell secondment)
G. Louw	Executive Vice President, Talent and Development, Shell
C. G. Lundin	Head, Global Marine Programme, IUCN
N. McCormick	Energy Network Co-ordinator, Economy and Environmental Governance Group, IUCN
J. Marton-Lefèvre	Director General, IUCN
J. Niven	Stakeholder Manager, Brent Team, Shell
D. Quaille	Project Implementation Manager, IUCN (Shell secondment)
J. de Queiroz	Regional Director, IUCN South America Regional Office
S. Reid	Partnerships Manager, Earthwatch
D. Shand	Member, IUCN Council
V. Stucki	Biodiversity Adviser, Upstream International, Shell (IUCN secondment)
A. Vickers	Vice President, Policy and External Relations, Shell
P. Wit	Chair, IUCN Commission on Ecosystem Management
S. Yasaratne	Head, Business and Biodiversity Programme, IUCN Asia Regional Office

## Annex 4. Questionnaire survey for Shell respondents

**IUCN-Shell partnership review survey for Shell respondents**

**1. Introduction**

Thank you for contributing to this external mid-term review of the five-year collaborative partnership between IUCN and Shell that was launched in October 2007. It is intended to help the partners assess whether their collaboration is on track towards its intended objectives, and whether it is performing the strategic and innovative functions that were expected. It aims to identify whether any adjustments in content, direction or delivery would be useful. The review will be completed by June 2010 and will be presented to the Steering Committee of the partnership.

I would be grateful if you would complete the questionnaire no later than 16 April, 2010.

Your response is anonymous, and all inputs received during this review will be treated in strict confidence.

If you have any questions, please contact me. And if you feel that you do not know enough about the partnership even to start on the questionnaire, do please let me know. That in itself would be significant for the review!

Thanks again.

Stephen Turner.  
sdtturner@africa.com

**1. Please indicate the nature of your involvement in the partnership. You can choose more than one if appropriate.**

Steering Committee member  
 Relationship manager  
 Involved in implementation of partnership projects/activities  
 User of partnership outputs  
 Less direct involvement  
 Other (please specify)

**2. How long have you been involved in Shell relations with IUCN?**

Since before this partnership started  
 Since this partnership started  
 Since after this partnership started  
 No significant level of involvement

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**IUCN-Shell partnership review survey for Shell respondents**

**2. Relevance, rationale and context**

Please indicate the extent to which you agree with the following statements. There is a space at the end of each page of the questionnaire for you to add comments and explanations.

**1. The IUCN-Shell partnership is relevant to the objectives of Shell.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**2. There is clarity in Shell about the value of this partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**3. There is consensus in Shell about the value of this partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**4. This partnership is vulnerable to apathy within Shell.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 2

**IUCN-Shell partnership review survey for Shell respondents**

**5. This partnership is vulnerable to opposition within Shell.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**6. There is concern in Shell about operational risks arising from this partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**7. There is concern in Shell about reputational risks arising from this partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**8. The partnership needs realignment to match the evolving priorities of Shell.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 3

**IUCN-Shell partnership review survey for Shell respondents**

**9. Partnerships with environmental organisations are relevant to the objectives of Shell.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**10. What are the main changes you would recommend in the content of this partnership?**

**11. If this partnership did not exist, should Shell try to establish it?**

Yes  
 No

**12. Please use this space for any comments, explanations or suggestions with regard to your answers above.**

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**IUCN-Shell partnership review survey for Shell respondents**

**3. Effectiveness**

**1. Overall, how effective is the partnership proving in helping to achieve the objectives of Shell?**

Highly effective  
 Moderately effective  
 Moderately ineffective  
 Highly ineffective  
 Don't know

**2. Overall, how effective is the partnership proving in achieving its own objectives?**

Highly effective  
 Moderately effective  
 Moderately ineffective  
 Highly ineffective  
 Don't know

**3. Is this partnership a strong or weak example of the benefits for Shell of partnerships with environmental organisations?**

Very strong  
 Fairly strong  
 Fairly weak  
 Very weak  
 Don't know

**4. The partnership is helping to build more effective synergy between Shell and IUCN.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 5

**IUCN-Shell partnership review survey for Shell respondents**

**5. Shell and IUCN have been able to contribute to changing the public and corporate policy arenas.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**6. The partnership is effective in building innovative approaches to achieve its objectives.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**7. Please comment on how effective specific partnership outputs have been to date in achieving the objectives of the partnership.**

**8. Since the partnership was launched, what external factors or events have influenced its effectiveness from Shell's perspective?**

**9. What unplanned results have emerged from the partnership so far?**

Page 6

**IUCN-Shell partnership review survey for Shell respondents**

**10. Shell and IUCN are communicating effectively with their broader constituencies about this partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**11. This partnership is generating useful lessons for Shell.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**12. Shell is adopting the lessons that this partnership generates.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**13. What intangible benefits are accruing to Shell from the partnership?**

**14. What intangible costs is Shell incurring from the partnership?**

Page 7

**IUCN-Shell partnership review survey for Shell respondents**

**15. What are the main factors supporting achievement of the partnership's objectives?**

**16. What are the main factors hindering achievement of the partnership's objectives?**

**17. Shell is transferring lessons from this partnership to other partnerships.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**18. How effective is the IUCN partnership proving to be compared to Shell's partnerships with other environmental organisations?**

More effective  
 About equally effective  
 Less effective  
 Don't know

Page 8

**IUCN-Shell partnership review survey for Shell respondents**

**19. Shell has been able to improve its performance related to biodiversity performance standards in the energy sector and supply chain.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**20. Overall, Shell has the strategies, approaches and tools necessary for it to be the conservation leader in the energy sector.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**21. Please use this space for any comments, explanations or suggestions with regard to your answers above.**

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**IUCN-Shell partnership review survey for Shell respondents**

**4. Efficiency**

**1. So far, the partnership has been efficient in achieving its intended outputs.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**2. Please comment on how efficient specific partnership activities have been to date in achieving the intended outputs on schedule.**

**3. The roles of the partners in this partnership are clearly defined.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**4. The roles of the partners in this partnership are clearly understood.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 10

**IUCN-Shell partnership review survey for Shell respondents**

**5. The roles of the partners' relevant agencies and staff in the partnership are clearly defined.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**6. The roles of the partners' relevant agencies and staff in the partnership are clearly understood.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**7. Working relations between the partners are efficient.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**8. There is a high level of trust between the partners.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 11

**IUCN-Shell partnership review survey for Shell respondents**

**9. Project activities are efficiently planned and, where necessary, revised.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**10. Performance indicators been clearly specified for the partnership and its component activities.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**11. Project activities are efficiently monitored.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**12. Project expenditures are efficiently monitored.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 12

**IUCN-Shell partnership review survey for Shell respondents**

**13. Shell and IUCN are communicating efficiently with each other in their implementation of the partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**14. The partnership is adequately resourced.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**15. The partnership is operating in a cost effective manner.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**16. Please use this space for any comments, explanations or suggestions with regard to your answers above.**

Page 13

**IUCN-Shell partnership review survey for Shell respondents**

**5. Governance**

**1. The Steering Committee is driving the partnership effectively to achieve its intended objectives.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**2. The partnership managers are effective in driving the partnership to achieve its intended objectives.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**3. Relations between Shell and IUCN in the implementation of the partnership are transparent.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**4. Accountability is appropriately structured and achieved in the management and governance of the partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 14

**IUCN-Shell partnership review survey for Shell respondents**

**5. Stakeholders within Shell are being effectively engaged to participate in the partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**6. Stakeholders beyond IUCN and Shell are being effectively engaged to participate in the partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**7. What are the main changes you would recommend in the governance and management of this partnership?**

Page 15

**IUCN-Shell partnership review survey for Shell respondents**

**6. Conclusion**

**1. Thank you once again for your co-operation and support in completing this survey. If there is anything that you would like to check or change, please do so now, as it is not possible to return to the survey once you have completed and submitted it.**

**Are there any other comments or recommendations you would like to make about the performance of this partnership?**

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## Annex 5. Questionnaire survey for IUCN respondents

**IUCN-Shell partnership review survey for IUCN respondents**

**1. Introduction**

Thank you for contributing to this external mid-term review of the five-year collaborative partnership between IUCN and Shell that was launched in October 2007. It is intended to help the partners assess whether their collaboration is on track towards its intended objectives, and whether it is performing the strategic and innovative functions that were expected. It aims to identify whether any adjustments in content, direction or delivery would be useful. The review will be completed by June 2010 and will be presented to the Steering Committee of the partnership.

I would be grateful if you would complete the survey no later than 16 April, 2010.

Your response is anonymous, and all inputs received during this review will be treated in strict confidence.

If you have any questions, please contact me. And if you feel that you do not know enough about the partnership even to start on the questionnaire, do please let me know. That in itself would be significant for the review!

Thanks again.

Stephen Turner.  
sdtturner@africa.com

**1. Please indicate the nature of your involvement in the partnership. You can choose more than one if appropriate.**

Steering Committee member  
 Relationship manager  
 Involved in implementation of partnership projects/activities  
 User of partnership outputs  
 Less direct involvement  
 Other (please specify)

**2. How long have you been involved in IUCN relations with Shell?**

Since before this partnership started  
 Since this partnership started  
 Since after this partnership started  
 No significant level of involvement

Page 1

**IUCN-Shell partnership review survey for IUCN respondents**

**2. Relevance, rationale and context**

Please indicate the extent to which you agree with the following statements. There is a space at the end of each page of the questionnaire for you to add comments and explanations.

**1. The IUCN-Shell partnership is relevant to the objectives of IUCN.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**2. There is clarity in IUCN about the value of this partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**3. There is consensus in IUCN about the value of this partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**4. This partnership is vulnerable to apathy within IUCN.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 2

**IUCN-Shell partnership review survey for IUCN respondents**

**5. This partnership is vulnerable to opposition within IUCN.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**6. There is concern in IUCN about operational risks arising from this partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**7. There is concern in IUCN about reputational risks arising from this partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**8. The partnership needs realignment to match the evolving priorities of IUCN.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 3

**IUCN-Shell partnership review survey for IUCN respondents**

**9. Partnerships with business are relevant to the objectives of IUCN.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**10. What are the main changes you would recommend in the content of this partnership?**

**11. If this partnership did not exist, should IUCN try to establish it?**

Yes  
 No

**12. Please use this space for any comments, explanations or suggestions with regard to your answers above.**

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**IUCN-Shell partnership review survey for IUCN respondents**

**3. Effectiveness**

**1. Overall, how effective is the partnership proving in helping to achieve the objectives of IUCN?**

Highly effective  
 Moderately effective  
 Moderately ineffective  
 Highly ineffective  
 Don't know

**2. Overall, how effective is the partnership proving in achieving its own objectives?**

Highly effective  
 Moderately effective  
 Moderately ineffective  
 Highly ineffective  
 Don't know

**3. Is this partnership a strong or weak example of the benefits for IUCN of partnerships with business?**

Very strong  
 Fairly strong  
 Fairly weak  
 Very weak  
 Don't know

**4. The partnership is helping to build more effective synergy between Shell and IUCN.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 5

**IUCN-Shell partnership review survey for IUCN respondents**

**5. Shell and IUCN have been able to contribute to changing the public and corporate policy arenas.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**6. The partnership is effective in building innovative approaches to achieve its objectives.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**7. Please comment on how effective specific partnership outputs have been to date in achieving the objectives of the partnership.**

**8. Since the partnership was launched, what external factors or events have influenced its effectiveness from IUCN's perspective?**

**9. What unplanned results have emerged from the partnership so far?**

Page 6

**IUCN-Shell partnership review survey for IUCN respondents**

**10. Shell and IUCN are communicating effectively with their broader constituencies about this partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**11. This partnership is generating useful lessons for IUCN.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**12. IUCN is adopting the lessons that this partnership generates.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**13. What intangible benefits are accruing to IUCN from the partnership?**

**14. What intangible costs are accruing to IUCN from the partnership?**

Page 7

**IUCN-Shell partnership review survey for IUCN respondents**

**15. What are the main factors supporting achievement of the partnership's objectives?**

**16. What are the main factors hindering achievement of the partnership's objectives?**

**17. IUCN is transferring lessons from this partnership to other partnerships.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**18. How effective is the Shell partnership proving to be compared to IUCN's partnerships with other businesses?**

More effective  
 About equally effective  
 Less effective  
 Don't know

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**IUCN-Shell partnership review survey for IUCN respondents**

**19. Overall, IUCN and the broader conservation community have the capacity, business skills, access to resources and influence to achieve a significant reduction in the loss of biodiversity.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**20. Please use this space for any comments, explanations or suggestions with regard to your answers above.**

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**IUCN-Shell partnership review survey for IUCN respondents**

**4. Efficiency**

**1. So far, the partnership has been efficient in achieving its intended outputs.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**2. Please comment on how efficient specific partnership activities have been to date in achieving the intended outputs on schedule.**

**3. The roles of the partners in this partnership are clearly defined.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**4. The roles of the partners in this partnership are clearly understood.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

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**IUCN-Shell partnership review survey for IUCN respondents**

**5. The roles of the partners' relevant agencies and staff in the partnership are clearly defined.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**6. The roles of the partners' relevant agencies and staff in the partnership are clearly understood.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**7. Working relations between the partners are efficient.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**8. There is a high level of trust between the partners.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 11

**IUCN-Shell partnership review survey for IUCN respondents**

**9. Project activities are efficiently planned and, where necessary, revised.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**10. Performance indicators been clearly specified for the partnership and its component activities.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**11. Project activities are efficiently monitored.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**12. Project expenditures are efficiently monitored.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 12

**IUCN-Shell partnership review survey for IUCN respondents**

**13. Shell and IUCN are communicating efficiently with each other in their implementation of the partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**14. The partnership is adequately resourced.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**15. The partnership is operating in a cost effective manner.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**16. Please use this space for any comments, explanations or suggestions with regard to your answers above.**

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**IUCN-Shell partnership review survey for IUCN respondents**

**5. Governance**

**1. The Steering Committee is driving the partnership effectively to achieve its intended objectives.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**2. The partnership managers are effective in driving the partnership to achieve its intended objectives.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**3. Relations between Shell and IUCN in the implementation of the partnership are transparent.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**4. Accountability is appropriately structured and achieved in the management and governance of the partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 14

**IUCN-Shell partnership review survey for IUCN respondents**

**5. Stakeholders within IUCN are being effectively engaged to participate in the partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**6. Stakeholders beyond IUCN and Shell are being effectively engaged to participate in the partnership.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**7. What are the main changes you would recommend in the governance and management of this partnership?**

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**IUCN-Shell partnership review survey for IUCN respondents**

**6. Conclusion**

**1. Thank you once again for your co-operation and support in completing this survey. If there is anything that you would like to check or change, please do so now, as it is not possible to return to the survey once you have completed and submitted it.**

**Are there any other comments or recommendations you would like to make about the performance of this partnership?**

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