

EXTERNAL REVIEW OF THE IUCN PROGRAMME 2017-2020



FINAL REVIEW REPORT

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EXECUTIVE SUMMARY

Introduction

Since 1991, IUCN has undertaken external reviews every four years prior to the Congress, as a joint exercise between IUCN and its framework partners. The previous 2015 IUCN external review focused on specific strategic aspects of IUCN, such as its niche, knowledge products, Commissions and organisational fitness for purpose. The findings and conclusions of this Review fed into the design of the 2017-2020 Programme.

This Review takes a different approach since it is not a strategic evaluation of IUCN as an organisation. Its objective is to **evaluate the overall performance of the IUCN Programme 2017-2020** to ensure the accountability of IUCN towards its members, donors and other stakeholders, and to provide lessons learnt meant to generate actionable recommendations for the effective implementation of the Programme 2021-2024, to be approved at the next IUCN Congress in Marseille in January 2021.

Although the Programme is designed as a Union programme, which means the entire membership of IUCN committed to contribute to the set objectives and targets, the scope of this Review mainly covers delivery by IUCN Secretariat, over the period from 1 January 2017 to 31 December 2019.

The Review assessed the 2017-2020 Programme according to the OECD/DAC criteria of relevance, effectiveness, efficiency, impacts and sustainability. It also assessed the gender responsiveness and social inclusion aspects of the Programme and its implementation.

The Review was carried out through the following steps:

- The team first conducted a preliminary documentation review and an analysis of the IUCN Programme and Project Portal. As a result of the sampling exercise, a total of 25 projects/programs were selected for an in-depth analysis. The Eastern and Southern Africa (ESARO) and Mexico, Central America, and the Caribbean (ORMACC) regional offices were selected for regional and country-level analyses.
- The team conducted almost 70 interviews with high-level staff from key Secretariat Head Quarters (HQ) units; Framework donors; Commission chairs; US and European offices in Washington and Brussels. The team also interviewed ESARO and ORMACC regional and national offices' representatives, managers of sampled projects as well

as NGOs and state agencies that are IUCN members in the selected countries (in Kenya, Rwanda, Costa Rica and Guatemala). Due to the Covid19 crisis, country missions had to be cancelled except for the mission in Kenya. The interviews planned in the selected countries were therefore conducted remotely (except for Kenya where they were done in person).

- Based on the information collected during the documentation review and interviews, the Review team analyzed and triangulated the data compiled in a data collection matrix, in order to inform the selected indicators, confirm/deny the judgment criteria and answer the evaluation questions. This Review report was then elaborated.

Review Findings and Conclusions

Relevance

Question 1: To what extent has the IUCN Programme been coherent and relevant to the needs of conservation and the equitable management of natural resources at the global, regional and local levels?

The IUCN Programme 2017-2020 is relevant to the major needs of conservation and equitable natural resource management, as they were identified by a science-based approach and consultative process at the Programme design stage. The IUCN Programme is closely aligned with global conservation objectives and several United Nations frameworks (CDB, SDG). Regional needs are specified in regional work programmes and local needs are usually carefully considered in the project and program development processes on the ground.

The IUCN Programme 2017-2020 is internally coherent. Its broad approach ensures that the portfolio fits under the three Programme areas and is aligned with the Programme global and sub-results. However, resources to achieve its ambitious objectives cannot be mobilized by the IUCN Secretariat alone but should consider membership as a whole.

Coordination and synergies at the regional and local levels between IUCN and partners are satisfactory, as the organization's convening role is globally recognized. They could however be exploited further with the membership, paying specific attention to the clarity of the Union's positioning with respect to its different types of members.

The IUCN Programme 2017-2020 is coherent and relevant to the needs of conservation and the equitable management of natural resources at the global, regional and local levels. Nonetheless, IUCN's positioning towards its members as well the specific contribution of the Secretariat to the Programme could be improved.

Effectiveness

Question 2: Has the IUCN Programme been effective in achieving its objectives?

The current monitoring system (through its traffic lights system) shows good progress towards achievement of Programme targets. However, this system has strong limitations as it does not allow aggregation of the results achieved by projects, programs, Commissions and/or

members at the Global Programme level, which hinders the assessment of the effectiveness of the IUCN Programme in achieving its expected results.

Although the IUCN's M&E system has improved, it remains a significant accountability and credibility risk for the organization and requires additional improvements to robustly measure the achievements of the Programme and help support IUCN as a learning organization.

The IUCN Programme has the ambition to be implemented according to the One Programme Approach that promotes the collaboration of all IUCN constituencies. The concept of the One Programme Approach is widely supported and considered as a key asset of the Union. Nevertheless, its implementation remains challenging.

When it comes to communicating about the Programme and its results, corporate communication is considered satisfactory. However, the Review showed that IUCN's visibility in some international and national fora could be improved, as well as the internal communication about the Programme. With regards to communication with framework donors more specifically, the coordination is deemed effective, even though limited by donor's availability.

The overall effectiveness of the IUCN Programme is difficult to track given the lack of robust monitoring and evaluation system at the global level. Nevertheless, there are indications that the IUCN Programme has progressed in achieving its objectives overall.

Efficiency

Question 3: Has the IUCN Programme been efficient with regards to its objectives?

IUCN financial management is generally solid, with stable administrative and management cost ratios over the evaluated period, comparable to those of other similar organizations. Nevertheless, financial reporting could be significantly improved from a result-based management perspective, by aligning it to result achievement reporting. This may also help management better understand the delays in project/program budget execution and disbursement rates. Furthermore, reporting on co-financing is not systematic enough across the portfolio to document success or discrepancies in result achievements and leveraging effects of IUCN's work.

While restricted income raised by the Programme is significantly below the initial budget, the leveraging ratio between unrestricted and restricted income remains significant at 7.1 in 2019. This high leveraging ratio on unrestricted funding, coupled with the substantial in-kind contributions made by IUCN's Commissions to the work of the Programme, provide an indication of the good value for money generated by unrestricted funding. IUCN could however clearly benefit from a more robust resource mobilization strategy with a concrete operational plan.

The decrease in unrestricted framework funding has constrained human resource allocation within IUCN with the downside of reduced flexibility. IUCN's changing portfolio also requires a shift in competencies to implement projects and programs. In its move from "retail to wholesale", the Secretariat went through a rationalization process aimed at improving business practices and efficiency, but this process is still ongoing, will require improvements,

and has not yet led to the level of internal satisfaction hoped for. Nevertheless, the growth of the portfolio (both in project size and overall value) has been absorbed by a reduced number of staff, creating tensions in personnel allocation but also suggesting that this model has already provided some efficiency gains with respect to portfolio management.

IUCN delivery models – implementing/grant-making or executing agency – have their own advantages and drawbacks. While the executing agency portfolio is the most significant to date, the implementing portfolio is consistently increasing. Moving “from retail to wholesale”, with fewer small projects and more large-scale programs is generally recognized as positive, but implementing projects funded by the GEF or GCF has not gained full approval to date given the high up-front investments. Relying too much on this implementing agency model with international multilateral funds could weaken IUCN stance and nature in the longer term. This encourages continued support for some form of on-the-ground implementation/execution of projects that bring full value to IUCN core competencies, its model and its members.

Finally, IUCN does have a risk management system in place at the corporate level, which is still at early stages of implementation. At the project level, risk management has improved with ESMS procedures but should be more systematically applied across the portfolio.

Overall, the IUCN Programme management can be considered efficient in its efforts towards its objectives, but financial reporting and the rationalization process now underway require improvements. Performance of different delivery models needs to be carefully monitored as the transition moves forward, to ensure the expected efficiency gains and mix in optimal delivery models materialize in a way that is not detrimental to the effectiveness nor the nature and niche of the Union.

Impact

Question 4: Does the IUCN Programme generate significant and lasting impacts?

The IUCN Programme 2017-2020 does not have a proper system in place to measure progress towards its intended impacts. Nevertheless, even though impacts are difficult to measure and not systematically collected nor compiled, several examples show that IUCN has contributed to impacts, in particular when it comes to its convening role, the rolling out of new concepts, tools or standards, change in practices, and influence on policy and governance processes.

Implementing further the One Programme Approach, improving communication and visibility, investing in policy work, working further with the private sector, promoting innovation and eventually restructuring the organization are potential avenues for improvement identified during the Review to strengthen the overall impact of the organization.

IUCN shows overall positive indications in its ability to generate impacts, although these are hardly measurable nor systematically reported on, and IUCN’s contribution towards impacts could be strengthened on various aspects.

Sustainability

Question 5: How sustainable are the IUCN Programme interventions?

Although the IUCN Programme 2017-2020 does not include an explicit sustainability strategy, the organization's modus operandi is able to create enabling conditions for sustainability of results achieved, in particular by (i) engaging national and local stakeholders and IUCN members, (ii) generating and disseminating knowledge products, standards and tools, (iii) influencing and informing policy, (iv) ensuring a long term presence, and (v) building capacity at various levels.

IUCN's and/or its partners' ability in securing funds to sustain conservation outcomes beyond the regular funding cycle of specific project interventions is not systematically tracked at the portfolio level. Nonetheless, a few examples show that some IUCN interventions succeeded in leveraging funding for the continuation or replication of their results after project exit.

At the Global Programme level, financial sustainability is a concern given the steady decrease in unrestricted framework funding and high dependency on restricted project funding. This could jeopardize the sustainability of the Programme, therefore requiring rethinking of the overall funding model.

The IUCN Programme interventions can create enabling conditions for sustainability, which would benefit from being systematized as part of a result sustainability strategy at the Programme level. Further investment in learning, as well as rethinking the funding model of the organization as a whole, would also strengthen overall sustainability of the Programme and its operations.

Gender Responsiveness and Social Inclusion

Question 6: To what extent has the IUCN Programme design and implementation been responsive to gender and social inclusion?

The IUCN 2017-2020 Programme document is not strongly responsive to gender and social inclusion in its design, as it does not include clear objectives on those aspects. The Programme is however more responsive in its implementation, with some good examples, but a lot of variability exists between projects. Projects/programs results frameworks are usually weak regarding gender and social inclusion, which does not allow for the good monitoring of their alignment with the IUCN Gender Equality and Women's Empowerment Policy.

IUCN is recognized for its role in influencing policies at the global and national levels on gender aspects, but there is little evidence of mainstreaming of social inclusion and gender equality more generally in IUCN's own policy influencing activities. It seems rather clear however that IUCN aims to increase both the gender responsiveness and the social inclusion dimensions of future planning and execution in the proposed future Programme, including the role of indigenous peoples and their organizations.

The relatively recent establishment of an Environmental and Social Management System (ESMS) as an intrinsic part of IUCN's project cycle has influenced project/program design processes in a first instance, and this should ultimately be reflected in their implementation.

The planned evaluation of the ESMS will be an opportunity to assess how IUCN delivery models enhance gender equality and social inclusion in conservation

Gender and social inclusion responsiveness is a work in progress throughout IUCN. While a lot has been done to push forward those aspects to date, the new Programme 2021-2024 will be an opportunity to strengthen the role of women, indigenous peoples and overall social inclusiveness in conservation and sustainable development.

Recommendations¹

Based on the Review findings and conclusions, the Review team proposes the following recommendations:

Recommendation 1: Build a results-based 2021-2024 Programme

The Review highlights a number of weaknesses regarding the design process of the Programme 2017-2020, and the level of integration of projects/programs and Global Thematic programmes into the Global Programme. In the process of designing the 2021-2024 Programme, it is recommended to:

- **Build the Theory of Change (ToC)** of the Programme, clarifying how the Programme intends to contribute to longer term transformative impacts.
- **Clearly differentiate** between (i) which part of the Programme results are expected to be delivered/supported by the IUCN Secretariat, and (ii) which ones are expected from other Union constituencies.
- **Update guidelines for project development** to ensure that IUCN project/program results frameworks are clearly linked to the global quadrennial Programme, with clearly defined expected impacts, outcomes and outputs.

Recommendation 2: Transform IUCN into a learning organization

In order for IUCN to achieve its overall goals and remain at the forefront of nature conservation, it is crucial for the organization to build on a continuous improvement cycle and learn and grow from experience. This is particularly true for IUCN as a Union that can benefit and consolidate experience from a large number and diversity of members. In this regard, it is recommended to:

- **Strengthen the IUCN M&E and reporting system for the 2021-2024 Programme.** As highlighted in this Review, IUCN's M&E system remains a significant accountability and credibility risk for the organization and requires additional improvement to robustly measure the achievements of the Programme and help support IUCN as a learning

¹ For more details on the recommendations, the reader shall refer to the Recommendations section of the report

organization. Several sub-steps are recommended to do so in the Recommendations section of this report.

- **Develop a Programme-level sustainability-for-result strategy.** The sustainability and exit strategies at project level would need to be better tracked to ensure that the enabling conditions and building blocks that IUCN is able to create are effectively put in place across the portfolio, in a more systematic manner. This information should then be consolidated at the Global Programme level, which would provide useful insight on the overall sustainability of the Programme results, and their contribution to the paradigm change that IUCN is aiming to achieve.
- **Develop a mechanism to systematically capture lessons learned at the project, regional, programme, unit, and IUCN Global Programme level.** IUCN and its members produce an enormous quantity of valuable knowledge based on experiments and experience which needs to be captured, aggregated, analyzed and disseminated.

Recommendation 3: Clarify resource mobilization and place innovation at its centre

There is a need to clarify resource mobilization for Programme delivery. How much should be mobilized to deliver program objectives? How should these funds be mobilized? By whom? Given the broad scope of the quadrennial IUCN Programmes, sizing the resources needed to achieve the intended high-level objectives is complicated. Nonetheless, the Secretariat work programme set within the 2021-2024 Programme should clearly identify possible sources of funding, set funding targets and assign responsibilities in mobilizing funds, within a 10-year perspective. It is therefore recommended to:

- **Develop a robust resource mobilization strategy tailored to the IUCN Programme objectives.** Such strategy should explain which type of resources should be mobilized, from which source, and how, to achieve the IUCN Programme overall objective and expected results. It should also identify roles and responsibilities for its implementation, as well as the resources and staff time required to raise funding and develop the portfolio accordingly. The strategy should help IUCN's resource mobilization shift from being reactive and opportunistic to being strategic. It should clearly present the unique role and positioning of IUCN, as well as the specific tasks related to this role that need to be funded, in particular as regards non-project functions.
- **Boost innovation.** Putting innovation at the centre of resource mobilization would enhance IUCN's leading position and reinforce its legitimacy – i.e. attract donors based on the organization's capacity to innovate, to be cutting edge, and to remain relevant to its mission and members. Given the limited space to innovate currently, as IUCN staff is too stretched and must focus on day to day activities, the IUCN Secretariat could consider forming a strategic innovation unit of 2-3 people, directly under the Director General, that would be dedicated to monitoring the quickly changing international context in order to continuously identify and map out key emerging and cutting-edge issues of interest for IUCN. Alternatively, or as a complement, the establishment of an Innovation working group gathering Commissions' members with a diversity profiles, could be explored.

Recommendation 4: Accompany change

For the last few years, the IUCN Secretariat has gone through a rationalization process which is strongly influencing the organizations' operations. It is therefore important to consider:

- **Providing adequate support and improving internal communication** to help staff understand and build ownership over the organizational changes introduced in the past years to professionalize the Secretariat and increase overall efficiency. This is key for the Union to move forward as a whole towards common objectives.
- **Developing a project analysis tool to help IUCN identify the most relevant interventions to implement.** This is key in recognizing the importance of executing projects on the ground (for technical, financial and positioning reasons), as well as the limits of this delivery model and the distinct expectations from the different categories of membership.
- **Acknowledging and addressing the required changes in competencies induced by the recent evolutions of IUCN organizational structure and portfolio.** The Secretariat must change the type of staff it recruits and ensure that training of human resources is strongly linked to ongoing and future changes in the organization, so that IUCN staff is adequately positioned to perform effectively, as well as adequately equipped in terms of knowledge, skills and expertise to adapt to this changing organization and its changing portfolio.

ACRONYMS

ACC	African Conservation Centre
AT	Aichi Target
AWF	African Wildlife Foundation
CBD	Convention on Biological Diversity
ccGAPs	National Climate Change Gender Action Plans
CEC	Commission on Education and Communication
CI	Conservation International
EAC	East African Community
EAC	East African Community
EbA	Ecosystem-based Adaptation
ERM	Enterprise risk management
ERM	Environment and Social Management System
ESARO	Eastern and Southern Africa Regional Office
EU	European Union
FLoD	First Line of Defense
GCF	Green Climate Fund
GCU	Global Communications Unit
GEF	Global Environment Facility
GRC	Governance, Risk Management & Compliance
HQ	Head Quarters
IBAT	Integrated Biodiversity Assessment Tool
IP	Indigenous People
IPO	Indigenous Peoples' Organizations
ITHCP	Integrated Tiger Habitat Conservation Programme
IUCN	International Union for the Conservation of Nature
IWT	Strengthening Community Engagement in Combatting Illegal Wildlife Trade
KPIs	Key Performance Indicators

NBS	Nature-based Solutions
NBS	Nature-based solutions
OECD/DAC	Organisation for Economic Co-operation and Development / Development Assistance Committee
ORMACC	Mexico, Central America and the Caribbean Regional Office
PAAS	Project Appraisal and Approval System
PMER	Planning, Monitoring & Evaluation and Risk unit
RLTS	RedList of Threatened Species
SADC	Southern African Development Community
SDC	Swiss Development Cooperation
SDG	Sustainable Development Goals
TFCAs	Transfrontier Conservation Areas
ToC	Theory of Change
UNFCCC	United Nations Framework Convention on Climate Change
WCC	World Conservation Congress
WWF	World Wildlife Foundation

Note to the Reader: in this report, the word “programme” follows spelling habits within IUCN:

- “Programme” refers to the Quadriennial Programme(s), such as the 2017-2020 Programme subject of this Review;
- “program”, usually used as “projects/programs”, refers to individual projects and programmes that together constitute the project portfolio of IUCN, under the quadrennial “Programme”;
- “programme” is used for IUCN Global Thematic Programmes

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1. INTRODUCTION

1.1. CONTEXT

The International Union for the Conservation of Nature (IUCN) is a Union that gathers more than 1,400 member organizations² that are either State governments and agencies, non-governmental organizations (NGOs), or indigenous peoples' organizations. Its global mission is to "influence, encourage and assist societies throughout the world to conserve the integrity and diversity of nature and to ensure that any use of natural resources is equitable and ecologically sustainable"³.

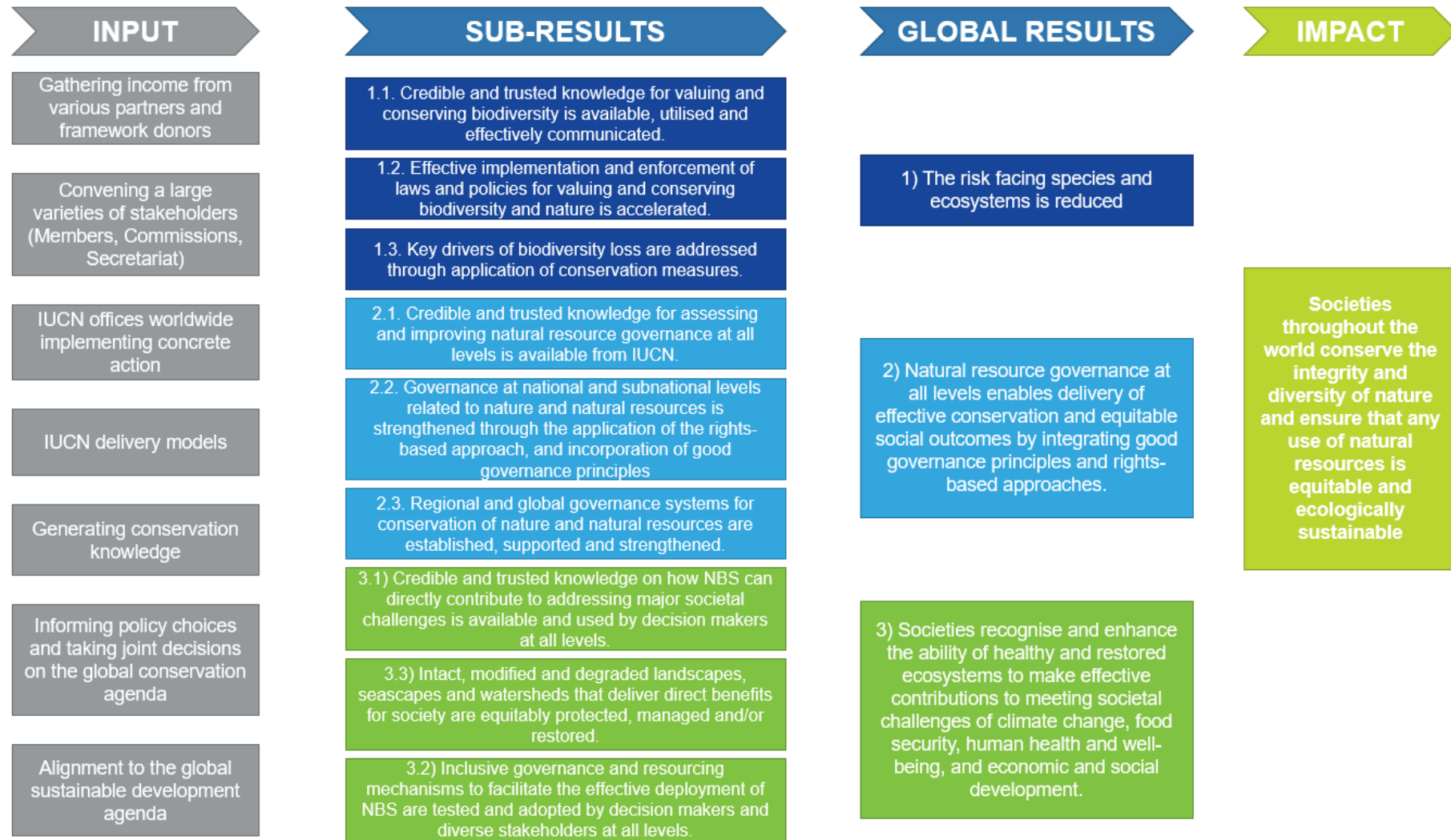
The IUCN Programme provides the framework for planning, implementing, monitoring and evaluating the conservation work undertaken by the Commissions and the Secretariat with and on behalf of IUCN Members. The IUCN Programme 2017-2020, as well as the Financial Plan 2017–2020 supporting its implementation, were approved by member organizations at IUCN's World Conservation Congress in September 2016 in Hawaii.

The intervention logic of the IUCN Programme 2017-2020 was reconstituted during the inception phase of this Review and is presented in the figure below.

² IUCN Website : <https://www.iucn.org/about>

³ *Ibid.*

Figure 1: IUCN Programme 2017-2020 reconstructed intervention logic



1.2. REVIEW SCOPE AND METHODOLOGY

1.2.1. PURPOSE OF THE REVIEW

Since 1991, IUCN has undertaken external reviews every four years prior to the Congress, as a joint exercise between IUCN and its framework partners. The previous 2015 IUCN external review focused on specific strategic aspects of IUCN, such as its niche, knowledge products, Commissions and organisational fitness for purpose. The findings and conclusions of this Review fed into the design of the 2017-2020 Programme.

This Review takes a different approach since it is not a strategic evaluation of IUCN as an organisation. Its objective is to **evaluate the overall performance of the IUCN Programme 2017-2020** by the IUCN Secretariat to ensure the accountability of IUCN towards its members, donors and other stakeholders, and to provide lessons learnt meant to generate actionable recommendations for the effective implementation of the Programme 2021-2024, to be approved at the next IUCN Congress in Marseille in January 2021.

Although the Programme is designed as a Union programme, which means the entire membership of IUCN committed to contribute to the set objectives and targets, the scope of this Review mainly covers delivery by IUCN Secretariat, over the period from 1 January 2017 to 31 December 2019.

1.2.2. EVALUATION CRITERIA AND QUESTIONS

The Review assessed the 2017-2020 Programme according to the OECD/DAC criteria of relevance, effectiveness, efficiency, impacts and sustainability. It also assessed the gender responsiveness and social inclusion aspects of the Programme and its implementation.

For each criterion, the following evaluation questions were defined:

- **Relevance:** Question 1 - To what extent has the IUCN Programme been coherent and relevant to the needs of conservation and the equitable management of natural resources at the global, regional and local levels?
- **Effectiveness:** Question 2 - Has the IUCN Programme been effective in achieving its objectives?
- **Efficiency:** Question 3 - Has the IUCN Programme been efficient with regards to its objectives?
- **Impact:** Question 4 - Does the IUCN Programme generate significant and lasting impacts?
- **Sustainability:** Question 5 - How sustainable are the IUCN Programme interventions?
- **Gender responsiveness and social inclusion:** Question 6 - To what extent has the IUCN Programme design and implementation been responsive to gender and social inclusion?

These six questions were then broken down into judgement criteria and indicators that are compiled in an evaluation matrix presented in Annex 1: Evaluation Matrix 1. For each indicator,

the collection methods and sources of information used are also indicated in the matrix. This tool provided a framework that guided the whole Review process and was used at all stages to collect, analyze and triangulate Review data.

1.2.3. REVIEW METHODOLOGY

The Review team worked closely with the Planning, Monitoring & Evaluation and Risk unit (PMER), responsible for of the day-to-day management of the Review. A kick-off meeting was organized with the unit in December 2019 to ensure a good understanding of the expectations and objectives of the Review.

The Review was carried out through the following steps:

- The team first conducted a preliminary documentation review and an analysis of the IUCN Programme and Project Portal⁴, in order i) to select regional offices and countries to be visited and considered for the project review, and ii) to identify a sample of global, regional and national projects to analyse more in-depth. The IUCN portfolio under the 2017-2020 Programme includes approximately 500 projects. The Eastern and Southern Africa (ESARO) and Mexico, Central America and the Caribbean (ORMACC) regional offices were selected based on their importance in the overall portfolio and to avoid duplication with the regions covered by an external review conducted in parallel by the Swiss Development Cooperation (SDC). In addition to Kenya and Costa Rica, where the respective regional offices are located, two additional countries were included in the analysis, which are Rwanda and Guatemala, given that they are the two countries with the highest number of relevant projects in the selected regions. As a result of the sampling exercise, a total of 25 projects/programs were selected⁵ according to a set of criteria⁶ that was proposed in the inception report submitted to the IUCN in January 2020.
- Once the inception report was validated, the team conducted an in-depth review of literature and project documentation⁷, to inform the indicators and judgement criteria. The Review team considered a wide range of IUCN programmatic and strategic documents such as IUCN Programme documentation, annual reports, key global evaluations on IUCN, financial data, relevant IUCN publications, corporate documents and IUCN organizational policies, strategies and procedures. The team also analysed the relevant documentation of the 20 sampled global, regional and national projects/programs such as project design documents, budgets, monitoring reports and mid-term or final evaluations when available.

⁴ See Annex 2

⁵ See final selection in Annex 3

⁶ The Review team used the following sampling criteria: Project above the median budget; Project above the median duration; Project that include the selected regions (Global, Eastern and Southern Africa, and/or Mexico, Central America and the Caribbean, Belgium, US) and cover more than 1 country; Include a variety of themes; Include some framework donors; Include a few GEF/GCF projects; Include a few projects with business engagement; Cover all 5 delivery models; and Project evaluations available.

⁷ See list of documents reviewed in Annex 4

- Data were also collected through key informant interviews⁸ throughout March and April 2020. The team conducted almost 70 interviews with the following different stakeholders: high-level staff from key Secretariat Head Quarters (HQ) units including several Global programme directors, met in Gland the first week of March; Framework donors; Commission chairs; US and European offices in Washington and Brussels. The team also interviewed ESARO and ORMACC regional and national offices' representatives, managers of sampled projects as well as NGOs and state agencies that are IUCN members in the selected countries (in Kenya, Rwanda, Costa Rica and Guatemala). Due to the Covid19 crisis, country missions had to be cancelled except for the mission in Kenya. The interviews planned in the selected countries were therefore conducted remotely (except for Kenya where they were done in person). Given the circumstances, field visits could not be conducted in the selected countries.
- Based on the information collected during the documentation review and interviews, the Review team analysed and triangulated the data compiled in a data collection matrix, in order to inform the selected indicators, confirm/deny the judgment criteria and answer the evaluation questions. The Review preliminary findings were presented to IUCN Leadership Team on May 12th to gather their comments and feedback, which have been duly considered in this version of the report. This draft report will be presented on May 28th to IUCN framework donors, whose feedback will be taken into consideration in the final report.

1.2.4. LIMITATIONS

During the Review process, the Review team faced the following limitations and challenges:

- The Covid-19 sanitary crisis prevented the Review team from carrying out the field visits initially planned. The purpose of these project sites visits was to conduct focus group discussions with beneficiaries and on-site observations. Such on-site visits are useful to get a clear understanding of the local context of the projects implemented, how IUCN interacts with local communities, and how those communities feel about IUCN interventions. However, given the high-level nature of the IUCN program - and thus of this Review - site visits are not a key element of the methodology. While they would have brought interesting insight on some of the projects executed in the field, they are not considered crucial to the analysis, mostly for two reasons: (i) Communities and partners on the ground may not have had a grasp the IUCN Global Programme, and (ii) the small number of projects to be visited (3-4 in total) would have not been representative and therefore would have had a limited weight in the Review process.
- Given the Review's time and resources constraints, the team only analyzed in detail about 25 of the 500 projects in the IUCN project portfolio over the period under review, which is far from being representative of the overall portfolio. This project

⁸ See list of people interviewed in Annex 5

documentation review did, however, make it possible to provide information and concrete examples on some indicators, and in particular to assess the consistency of the projects with the overall IUCN Programme 2017-2020 and their relevance to context-specific needs.

- The documentation available for the project review was variable and incomplete for some projects. For example, few evaluation reports for closed projects were available, which somewhat limited the analysis of some indicators and judgement criteria, particularly those related to impacts and sustainability. Indeed, as the duration of the projects does not necessarily coincide with the short duration of the IUCN global Programme, most of the analyzed projects were ongoing.
- The IUCN Programme and Project Portal provided extremely limited information on projects' results and achievements. As such, it did not allow for a highly informative portfolio-level analysis.

2. REVIEW FINDINGS

2.1. RELEVANCE

Q1. To what extent has the IUCN Programme been coherent and relevant to the needs of conservation and the equitable management of natural resources at the global, regional and local levels?

2.1.1. ACCOUNTING FOR THE NEEDS OF CONSERVATION AND THE EQUITABLE MANAGEMENT OF RESOURCES

Alignment with global conservation needs

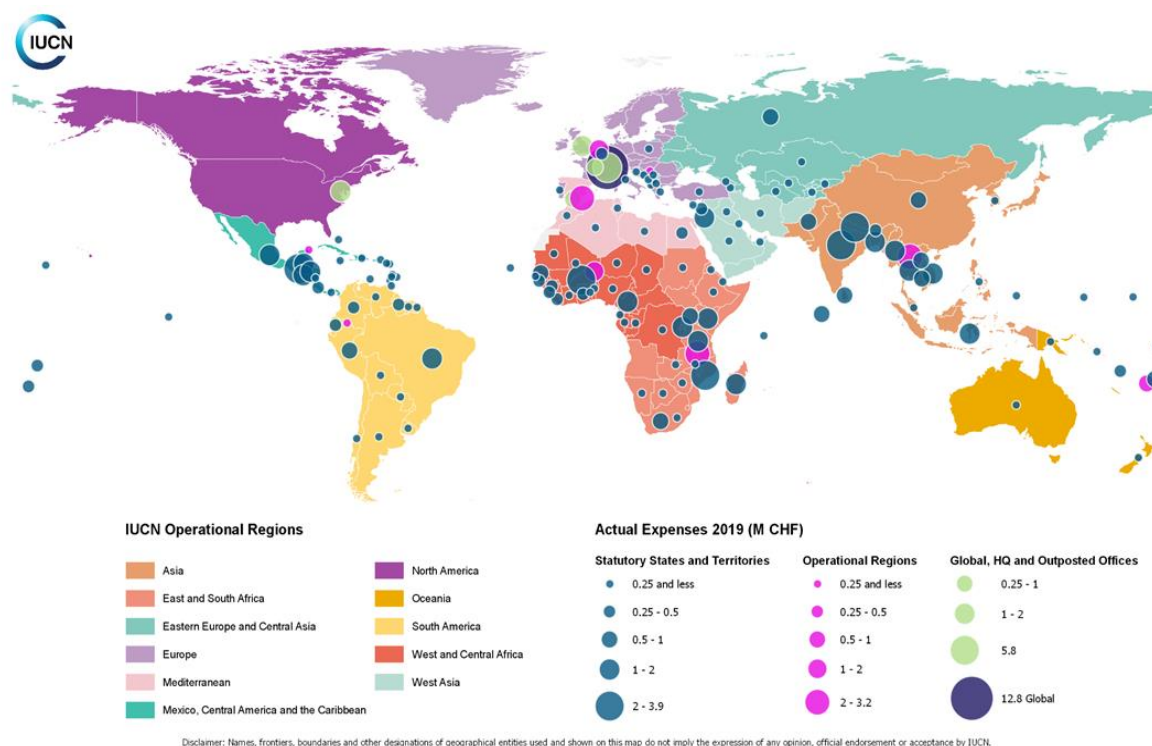
A global situation analysis was conducted by the Secretariat as background documentation to inform the preparation of the quadrennial IUCN Programme for the period 2017-2020. This examined the current conservation landscape, identified important gaps and needs and assessed which among these, IUCN was best placed to address. It estimated the proportions of global conservation needs by different geographic regions, state of nature⁹, ecosystem services and drivers of change, including governance issues.

This analysis provided science-based information to support discussions and decisions about IUCN's priorities, niche, and opportunities during the Programme development process. Its main findings on the Programme 2013- 2016 pointed out that IUCN efforts were relatively in line with the needs of the different categories mentioned above (state of nature, ecosystem services and drivers of change). Geographically, it highlighted the need for IUCN to work in priority in Africa, Meso and South America, and South and East Asia, where the most pressing conservation needs are, considering that IUCN's efforts were, at that time, insufficient in the last two regions¹⁰.

The figure below, taken from the IUCN annual progress report 2019, shows that IUCN's investments have been globally in line with the priority areas identified in the situation analysis, except for the South America region that continues to be under-represented. The geographic distribution of IUCN's expenses in 2017 and 2018 followed similar trends.

⁹ This category is divided into "Genetic", "Species", and "Ecosystem" (draft situation analysis)

¹⁰ IUCN Programme 2017-2020

Figure 2 : Actual expenses of the Secretariat in 2019¹¹

IUCN's unique structure bringing together State governments and civil society organizations makes the Union relevant and legitimate enough to assess major global conservation and natural resource management needs. This also puts IUCN in a strong position to significantly contribute to meet them. Nonetheless, interviews conducted during this Review highlighted that the Programme cannot encompass in a comprehensive manner all the conservation needs that are evolving and changing. On this specific aspect, opinions are quite divergent among stakeholders on the necessity and the capacity of IUCN to adapt to these rapidly changing circumstances worldwide, between the proponents of a more conservationist approach to IUCN's niche activity and those who would like to see IUCN take more action on certain major challenging and emerging themes, such as economics, laws, climate change issues or relationships with other sectors like agriculture and health..

It is worth noting that the IUCN Programme 2017-2020 is solidly aligned with several United Nations frameworks, such as the Convention on Biological Diversity (CBD)'s Strategic Plan for Biodiversity 2011-2020 and the associated Aichi Biodiversity Targets, the 2030 Agenda for Sustainable Development and the Sendai Framework for Disaster Risk Reduction. The global results, sub-results and targets of the IUCN Programme are closely related to the Sustainable Development Goals (SDG) and Aichi targets they are contributing to achieve. As depicted in the 2015 External Review, this reflects an organization whose thematic niche is appropriately situated at the intersection of biodiversity conservation and sustainable development including socio-economic concerns¹².

¹¹ IUCN. 2020. Annual Progress Report 2019

¹² IUCN External review, 2015

Overall, the IUCN Programme design is closely aligned with global conservation needs, but could strengthen its action geographically, as for example in the South America region.

Stakeholder engagement in Programme design

The Programme preparation included several rounds of consultations, inputs and feedback from the different IUCN constituencies, including the Council, the Secretariat, the six Commissions and the Membership. Regional Conservation Forums were held in the second half of 2015 in the different IUCN's regions of intervention in order to engage membership organizations in the Programme design and get a sense of regional and local priorities.¹³

While the consultative process itself was widely appreciated by IUCN staff and members, the way it was conducted was perceived differently by the people interviewed during this Review. For example, in the Eastern and Southern Africa region, stakeholders mostly consider the process as an important step allowing regional and national stakeholders to get involved in Programme design, get acquainted with the objectives of the future Programme and ensure most important regional and local priorities are captured. For others, however, the Programme design globally followed a top-down process led by HQ, in which regions' feedback was little considered. Even though reflecting the contributions of all stakeholders is quite challenging given the complex and diverse institutional structure of IUCN, many interviewees consider that the design process has improved over time. Lessons were learnt from the current Programme to build the new one for the 2021-2024 period, in order to better capture members' contributions and regional and national priorities in the design of the Programme, which is generally appreciated.

As for framework donors, their participation and involvement in the Programme design was modest. Interviews conducted highlight that framework donors generally consider that Programme design is a membership-driven process, and do not feel the need to play a specific role. Nonetheless, it gives them an opportunity to put forward and share their main issues and themes of interest in order to be sure the organization moves in a direction they can support. For example, IUCN was pushed to move towards a more people-oriented approach overtime, including gender and livelihoods.

A good number of stakeholders were therefore involved in the definition of the IUCN Programme 2017-2020, with, however, a varying degree of ownership and level of satisfaction with the consultative process.

Alignment with regional and local conservation needs

The IUCN Programme is mainly perceived as a framework document, whose challenging ambition is to bring together the priorities of IUCN constituencies in order to guide the institution's work worldwide and in the different regions. As such, the Programme remains at a strategic level and does not go into the details of the interventions to be implemented to achieve its objectives. Interviews confirm that the Programme reflects challenges that are similar across regions to the extent possible in this type of strategic document. More refined regional priorities are set out at the regional level, through regional work programmes, to adapt

¹³ IUCN Programme 2017-2020

to context-specific realities, in collaboration with regional IUCN partners and stakeholders. The IUCN regional work programmes define how the Global IUCN Programme is to be implemented on the ground in the region.

For example, ESARO has developed a Regional Implementation Plan 2017-2020¹⁴ that describes the regional office priority interventions over the period along the 3 Programme areas. In the same way, the Oceania Regional Office has also drawn up a 2017-2020 Regional Plan which sets out the specific strategies, activities and 2020 targets at the regional level according to the 3 programmatic areas. The Mexico, Central America and the Caribbean region's regional programme is based on priorities of the region that fall under IUCN's three programmatic areas.

Moreover, the sample of global, regional and national projects and programs analyzed in this Review exercise demonstrates that IUCN generally ensures that projects/programs are consistent with the countries' policies and strategies.

In the ESARO region for example, it was confirmed that important IUCN interventions are aligned with the priorities and political interest of the region State members, in particular in terms of transboundary biodiversity conservation strengthening. Indeed, IUCN is involved in the implementation of two ongoing regional projects with the Southern African Development Community (SADC) and the East African Community (EAC) member States which objectives are to enhance collaborative management of transboundary natural resources and ecosystems. At the national level, in Rwanda for instance, IUCN has focused its action on landscape restoration to accompany the government to reach its Bonn Challenge commitment of restoring 2 million hectares of degraded forest and landscape. This provides direct support to the Rwandan government in reaching its commitments, which is highly appreciated.

In the Central America, Mexico, and Caribbean Region, IUCN staff has worked on themes that are highly relevant and sensitive to regional and local needs, such as transboundary conservation and natural resources management, landscape restoration, and indigenous peoples and natural resources management. IUCN is for example involved in the implementation of different projects that aim to support indigenous and Afro-descendant organizations and/or networks in Central America in order to improve the governance of natural resources and enable equitable access to the benefits derived from nature by applying the rights-based approach¹⁵.

Overall, the Programme's broad approach ensures that it is consistent with regional and local conservation needs, that are more specifically refined in regional work programmes aligned with the three IUCN programmatic areas.

Consideration of context and local needs in the IUCN project/program development process

At the project level, reviewed documentation and interviews conducted confirm that IUCN tries to ensure the involvement of relevant local stakeholders and partners in the design process

¹⁴ IUCN ESARO, 2018. Regional Implementation Plan 2017-2020

¹⁵ As revealed by the analysis of projects implemented in the ORMACC region such as "Fortalecimiento de los derechos de pueblos indígenas y afrodescendientes en Centroamérica" and "Extractive industries and Indigenous Territories in Central America: Supporting indigenous" projects.

through specific consultations or the organization of workshops. To support this type of consultative process, the Project Guidelines¹⁶ published in 2016 have a specific section on *Preparing a Stakeholder Analysis and engaging stakeholders*, where different tools are proposed. IUCN has also, for example, elaborated a whole framework and methodology to improve community engagement in combating illegal wildlife trade¹⁷. The methodology was developed based on an action-research project in Kenya and is now used by many other organizations.

Context-specific needs in terms of biodiversity conservation, human wellbeing and equitable management of natural resources may also be identified through specific assessment studies. For example, in preparation of the regional inception workshops that were organized at the beginning of BIOPAMA II, IUCN conducted a preliminary mapping of priority protected area management effectiveness and governance issues that BIOPAMA could potentially support and from which information could be drawn for its potential use in guiding the implementation of the project activities. Even though it may not be the case for all projects and programs developed by IUCN teams, and although some communication and coordination problems may emerge during the implementation phase between HQ and regional and national offices¹⁸, consideration of context-specific realities and needs of target beneficiaries in the IUCN project/program development process appears rather strong in the sample covered by this Review, as IUCN has developed a solid ground-based approach.

2.1.2. PROGRAMME COHERENCE

Coherence between the Programme's objectives, global results, sub-results and targets

IUCN mission is to “*influence, encourage and assist societies throughout the world to conserve the integrity and diversity of nature and to ensure that any use of natural resources is equitable and ecologically sustainable*”, while its vision is to contribute to a “*just world that values and conserves nature*”¹⁹.

IUCN Programme 2017-2020 mentions the two overarching programmatic objectives that have underpinned the Union's work since it was founded:

- To mobilize the world community to act collectively and at all levels to prevent the loss and degradation of biodiversity, more specifically by halting the species extinction crisis and by ensuring ecosystem integrity in order to enhance the resilience of healthy natural ecosystems on which all human societies depend to prosper; and
- To promote equity and social justice, valuable in their own right, but particularly in the context of conservation work²⁰.

¹⁶ IUCN Project Guidelines and Standards. Module 2 Project Identification and Conceptualization. Version 2.2 – 2016 – rev1 25 October 2016

¹⁷ “Strengthening Community Engagement in Combatting Illegal Wildlife Trade (IWT)” project implemented in Kenya from 2016 to 2019, which led to the development of the FLoD methodology (Local communities: First Line of Defense against illegal wildlife trade).

¹⁸ See the section related to *the One Programme approach* in the Effectiveness chapter.

¹⁹ IUCN website: <https://www.iucn.org/about>

²⁰ IUCN Programme 2017-2020

The Programme consists of three interdependent areas of work that are similar to the previous Programme:

- 1) Valuing and conserving nature,
- 2) Promoting and supporting effective and equitable governance of natural resources, and
- 3) Deploying nature-based solutions to address societal challenges including climate change, food security and economic and social development.

These three Programme areas reflect the three global results expected from the Programme, which are each broken down into three sub-results (9 in total) and their respective 2020 targets (30 in total, presented in Table 1 below) that are linked to specific SDG and Aichi targets. All of these global results, sub-results and targets are compiled in a results framework²¹.

The design and presentation of the Programme's results framework could however be improved to better link the global and sub results to the Programme's objectives and the IUCN's global mission. Moreover, the theory of change defined in the Programme document does not seem to be specifically tailored to the Programme's objectives and expected outcomes and impacts but rather appears to be the theory of change for the institution as a whole. The diagram lacks overall clarity and some elements such as the underlying assumptions for success and risks are not clearly shown.

Nonetheless, although the presentation of objectives, scope, results and impacts of the Programme could be better articulated, its content is considered coherent with the IUCN's global mission, capacities and positioning.

Appropriateness of IUCN interventions compared to available resources

Project activities are generally perceived as appropriate compared to the available resources. However, the sample of projects considered for a more detailed analysis in the framework of this Review shows that some projects' objectives and scopes seem to have been too ambitious, with a risk of dispersal and scattering of activities in many different places (countries or pilot territories), possibly limiting the impacts on the ground.

For example, the BRIDGE project (phase 4), with a global budget of CHF 6,7 million, plans various activities aiming at building or consolidating sustainable management and governance of water resources in an increasing number of transboundary basins in different regions of the world, limiting the available budget per region. In the same way, regranting initiatives such as the Save Our Species (SOS) and the Tiger programmes, are sometimes reduced in scope due to the rather small number of projects they can fund and the size of the grants they can deliver, as compared to the needs identified, possibly limiting the global impacts of these initiatives.

²¹ See the section related to *Programme targets* in the Effectiveness chapter, especially table 1 that lists all the targets, as well as Figure 1 for global and sub-results.

The design and scope of projects, including the number of beneficiary countries or planned activities, may be better adjusted to available resources, in order to avoid scattering and limiting impacts on the ground.

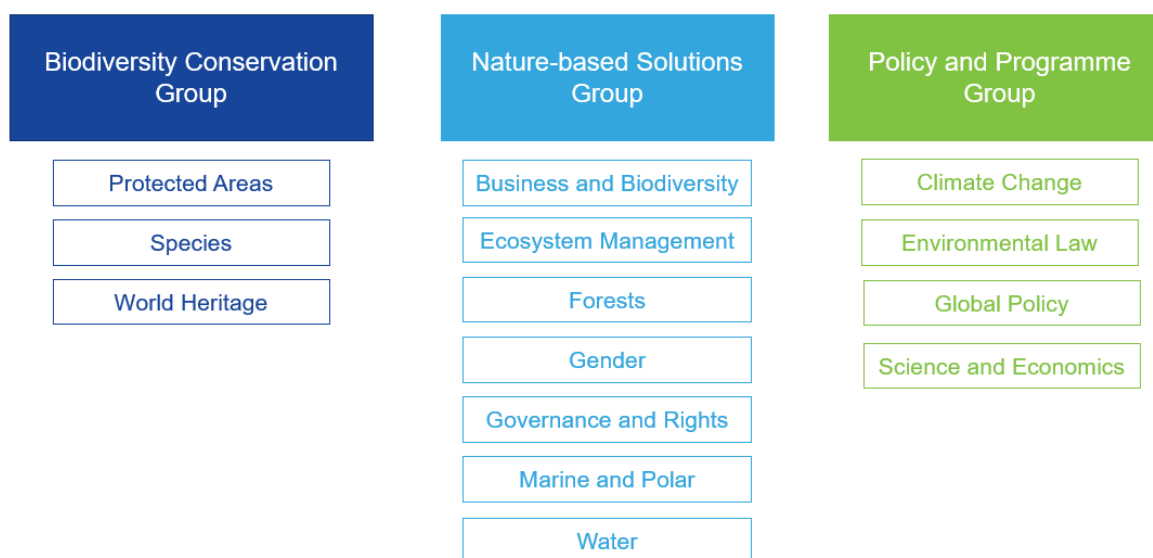
More globally, it is clear that the resources the Secretariat can actually mobilize are insufficient to achieve alone the ambitious objectives set in the 2017-2020 Programme. The IUCN Programme is a Union Programme. As such, it sets objectives for the entire conservation community, considering resources should be mobilized globally to achieve these objectives.

Alignment of the Programme with IUCN themes and business lines

The IUCN Secretariat, located in Gland, Switzerland, works on a wide range of themes, that are: Business and Biodiversity; Climate Change; Ecosystem Management; Environmental Law; Forests; Gender; Global Policy; Governance and Rights; Marine and Polar; Protected Areas; Science and Economics; Species; Water; and World Heritage. According to IUCN, “themes are the most pertinent topics for IUCN’s Programme, for which IUCN must develop and maintain competencies and capacities for delivery”²².

These themes are under the umbrella of three Global Thematic Programmes, as summarized in the diagram below.

Figure 3: Global Thematic Programmes and themes



The three areas of work defined in the IUCN Programme 2017-2020 are well-aligned with the three Global Thematic Programmes.

As pointed out in the organizational evaluation that was conducted by NORAD in 2017, the Biodiversity Conservation Group works mainly with Programme area 1 (Valuing and conserving nature), the Nature-based Solutions Group works with Programme area 3

²² Assessment of Scope, Priorities, Programme Alignment and Roles and Responsibilities of the Business and Biodiversity thematic programme, Pilot version V3 July 2017

(Deploying nature-based solutions to address societal challenges) but also makes contribution to delivery of Programme area 2 (Promoting and supporting effective and equitable governance of natural resources). The Policy and programme group works with the policy components of Programme area 2.²³ Each thematic programme is however expected to contribute to the delivery of the IUCN Programme as a whole.

The Programme acts as a guiding framework and a reference for the thematic units that have developed a “theory of change” document²⁴ derived from the three Programme areas. In those documents, each thematic programme has defined its business lines (i.e. areas of work) and types of interventions in accordance with the Programme’s objectives and global results, and established a clear link to the IUCN Programme’s sub-results and targets it is supposed to contribute to. According to IUCN, “business lines are areas of work under each theme around which IUCN focuses expertise, delivery of results, and knowledge generation and deployment in order to strengthen programmatic impacts”²⁵.

These business lines are relatively aligned with the three Programme areas, with varying degrees of integration, however. For example, the theory of change of the Ecosystem Management Programme comprises three business lines (1. Assessing Ecosystem Status, 2. Adapting ecosystem management for neglected ecosystems, 3. Enhancing resilience and reducing risks through ecosystem-based approaches) that are facing the three Programme areas and well integrated with its expected outputs in terms of knowledge generation, governance strengthening and conservation actions. Similarly, the three business lines defined in the Protected Areas and World Heritage Programme (1. Achieving Quality Protected Areas and World Heritage Sites, 2. Enhancing Protected Area and World Heritage governance diversity, quality and vitality, 3. Facilitating application of Protected Area solutions to development challenges) demonstrate good integration with the global IUCN Programme.

However, interviews highlighted a possible disconnect between the Programme and some Thematic programmes’ action plans developed to implement the global IUCN Programme. Apart from this preliminary Theory of Change exercise, individual programmes follow their own strategy and their contribution to the Programme areas are hardly captured and aggregated at the global Programme level²⁶. This aspect also denotes silo work and a varying level of collaboration between the thematic units in the Programme delivery.

The draft 2021-2024 Programme proposes that the Secretariat will adopt an operational plan that sets priorities around its contribution and how it will deliver for the Union. This exercise will certainly allow for a better planning of the contributions and monitoring of the performance of the different thematic units to the Programme, and enable the identification of areas of collaboration between them.

²³ NORAD organizational evaluation 2017

²⁴ It can be noted that the name of the documents can be misleading as they do not present proper theory of change diagrams

²⁵ Assessment of Scope, Priorities, Programme Alignment and Roles and Responsibilities of the Business and Biodiversity thematic programme, Pilot version V3 July 2017

²⁶ See the section related to the Monitoring and Evaluation system in the Effectiveness chapter.

Alignment of programs/projects with the Programme

Specific projects and programs are the means of implementing the IUCN overall Programme. The project guidelines (module 2)²⁷ indicate that the identification of new projects should be based on the IUCN Programme and specific regional and thematic programmes' objectives. Projects and programs' contributions to the overall Programme are for the time being reported through the IUCN Programme and Project Portal²⁸. When developing a new project, project officers must report on to which of the 30 targets of the Programme the project activities are contributing to.

The analysis of the sample of projects considered for this Review shows that projects are generally consistent with the Programme. The Programme's broad approach ensures that projects and programs fit the three Programme areas and are aligned with its global and sub-results. However, the project proposal documents submitted to donors generally make little or no reference to it²⁹. As presented in the M&E section of the Effectiveness chapter, there is room for improving project results frameworks and their link with the global Programme targets.

The Programme is generally perceived as a guiding framework that is not really fit to project development and fundraising opportunities. It gives the global direction for project and program development. It has a disciplinary effect on boundaries on what IUCN can do or not. For example, IUCN has stopped investing in clean energy projects, since the energy sector, which was initially considered within the Programme's scope, was finally kept out.

Furthermore, projects and programs have their own logic. They have a lifespan that is not always concomitant with the Programme timeline, that may be considered too short to achieve results. Given the current funding model, project developers must also seek funding on their own. For some interviewees, as funding is becoming more and more projectized, it can be illusory to have an overall Programme that holds all the projects together.

Overall, projects and programs carried out by the Secretariat are well aligned with the Programme's objectives and surely contribute to the achievement of its global and sub-results, even though their actual contributions are currently not sufficiently quantified and/or adequately qualified through the regular design and monitoring processes of IUCN.

2.1.3. SYNERGIES BETWEEN IUCN AND OTHER PARTNERS

Project documentation shows that IUCN seeks to ensure the complementarity of its activities in the field. Project design documents generally briefly mention other existing IUCN projects with which implementation will be coordinated, but without specifying how in most cases.

According to project documentation, different global grant-making mechanism programmes supported by the European Union (such as SOS, BIOPAMA and BEST 2.0) are collaborating

²⁷ Tools for project Identification and Conceptualization

²⁸ See section M&E of the Effectiveness chapter

²⁹ Despite the IUCN project concept and proposal appraisal and approval templates used internally require that the project idea and then its design are aligned with at least one of the three Programme areas

to ensure that the implementation of the re-granting components of each action follows consistent standards and approaches³⁰. Another example is the Southern African Development Community (SADC) Transfrontier Conservation Areas (TFCAs) Financing Facility project executed by IUCN ESARO, which is supposed to bring in-kind contributions estimated at up to EUR 300,000 for logistic facilities and synergies with other IUCN projects such as Training for Wildlife Rangers and Managers, and BIOPAMA.

On the other hand, project documentation review and interviews also demonstrate that IUCN seems to pay attention to synergies with its members and partners' interventions on the ground. IUCN plays an important role in bringing stakeholders together, a convening role that is appreciated and recognized by membership. In Kenya for example, ESARO has taken the initiative to organize a Regional Directors Conservation forum, bringing together all the regional organizations based in Nairobi (AWF, CI, WWF, ACC), that meet and talk periodically about major conservation priorities and how to work in a complementary way. The ORMACC regional office identifies partners and existing initiatives through: i) high level permanent contacts through the IUCN representatives and staff in each country and ii) permanent communication with regional integration bodies and donors. IUCN also integrates partners and members in the design and the implementation of projects. In both ESARO and ORMACC regions, different IUCN State and NGOs members interviewed, highlighted the Union's fundraising and capacity building role, as well as good collaboration between their staff in the preparation and execution of projects.

However, local members highlighted that some problems of competition on the ground may arise between IUCN and their organizations. IUCN positioning towards its members is still ambiguous to many, as it fluctuates between partnership and competition to access funding from donors, which can be explained by the increasingly project-driven funding model of the institution. When IUCN acts as an implementing agency for the GEF or GCF, the Union sometimes competes with other big conservation organizations like Conservation International and the WWF, both of which are members of the IUCN and also are GEF and GCF accredited agencies. Similarly, when IUCN takes on a direct project management role on the ground as an executing agency, the organization is operating like NGOs or consultancies, which can pull away or overlap local capacity.

Furthermore, project documentation reviewed indicates that IUCN tries to ensure coordination and synergies in the field with other organizations and financial and technical partners active in the project area, such as NGOs, UN agencies or donors. However, project design documents generally mention that synergies will be promoted, without much more details. In the ORMACC region, IUCN projects are in some cases implemented jointly with projects managed by other organizations, such as the IUCN/KfW Selva Maya and the GiZ Selva Maya projects, or projects with other partners like GiZ and CATIE/RCPP. The BRIDGE programme is continuously seeking to maintain and mobilize new partnerships at each supported water basin level, in order to align and cofinance activities.

Overall, coordination and synergies at the regional and local levels between IUCN and partners seem satisfactory. They could however be exploited further with its membership,

³⁰ Interim narrative report from February 2018 to January 2019 of the SOS programme

paying specific attention to the clarity of the Union's positioning with respect to its different types of members.

The new Programme 2021-2024 wishes to strengthen synergy and collaboration with members and partners.

Conclusion to Question 1: To what extent has the IUCN Programme been coherent and relevant to the needs of conservation and the equitable management of natural resources at the global, regional and local levels?

IUCN Programme 2017-2020 is relevant to the major needs of conservation and the equitable management of natural resources at the global, regional and local levels. Its broad approach ensures that IUCN projects/programs and IUCN thematic programmes and business lines are coherent with the three Programme areas, but financial resources at the Secretariat-level may be insufficient to deliver on its ambitious scope. Overall, coordination and synergies at the regional and local levels between IUCN and partners are satisfactory, but they could be exploited further with its membership, paying specific attention to the clarity of the Union's positioning with respect to its different types of members.

2.2. EFFECTIVENESS

Q2. Has the IUCN Programme been effective in achieving its objectives?

2.2.1. ACHIEVEMENT OF EXPECTED RESULTS

Programme Targets

According to the Draft Annual Progress Report 2019, “in 2019, there was significant progress in the implementation of the IUCN Programme. According to this assessment 17 out of 30 targets have been achieved and 90% are on track to be achieved by 2020. Only two targets are at risk not to be met by end of 2020”³¹. The report provides a traffic light assessment per Programme target, as presented in Table 1.

The monitoring framework of the IUCN Programme 2017-2020, as presented in Annex of the Annual progress reports, can include several indicators per target, and therefore several rate of progress per target. As an exploratory exercise, the Review team calculated the average percentage of progress of the different indicators under a same target. They are indicated in Table 1. This method has its flaws as a well performing indicator can hide a poorly performing one and vice versa. The method does not allow either to attribute a different contribution weight to different indicators for a given target. To mitigate this flaw, the column LPI for “Lowest Performing Indicator” was added to show the progress of the lowest performing indicator when indicators were averaged out for a target.

³¹ IUCN. 2020. Draft Annual Progress Report 2019

Table 1: Traffic light assessment of progress of the IUCN Programme 2017-2020

Target achieved		On track to achieve target	Progress towards target but at an insufficient rate	No significant overall progress	No Progress		
#	Target description	2018	2019	LPI			
Programme Area 1. Valuing and conserving nature							
1	The IUCN Red List of Threatened Species™: global assessments of 160,000 species completed including reassessments to generate indicators and at least 75 % of countries with national and regional Red Lists use the IUCN Red List Categories and Criteria.		36%				
2	The IUCN Red List of Ecosystems: ensure global assessment of risk of collapse of 25% of the world's ecosystems according to an agreed global ecosystem classification.		89%				
3	Protected Planet documents accurate and up-to-date information on protected areas under Aichi Target 11, including coverage, management effectiveness, governance, ecological representativeness, connectivity, other effective area-based conservation measures, as well as outcomes and other metrics for Green Listing.		71%	13%			
4	2,500 Key Biodiversity Areas (KBAs) are identified and the current datasets are updated against the new KBA standard to document all sites contributing significantly to the global persistence of biodiversity.		34%				
5	IUCN knowledge, including gender-specific knowledge as appropriate, on the value and conservation of nature is generated and communicated to influence key global, regional and local decisions and actions.		160%				
6	The implementation of commitments under biodiversity-related conventions and international agreements is accelerated.		95%	37%			
7	New legislation and policies are developed (and implemented), and existing laws and policies are enforced, to address illegal wildlife trafficking.		131%				
8	The development and implementation of standards, safeguards, natural capital metrics, incentives and the development of relevant regulatory frameworks (in the public, private and financial sectors) are recognised and put into practice.		93%				
9	Targeted conservation actions lead to the recovery of species and ecosystems.		128%				
10	Protected area networks are expanded to conserve areas of particular importance for biodiversity through effectively and equitably managed, ecologically representative and well-connected systems of protected areas and other effective area-based conservation measures.		542%				
11	Invasive alien species and pathways are identified and prioritised, priority species are controlled or eradicated, and measures are in place to manage pathways to prevent their introduction and establishment		41%				
12	NatureForAll raises awareness of nature and its values and enables more people to experience, connect with, and take action to conserve nature		93%	55%			
Programme Area 2. Promoting and supporting effective and equitable governance of natural resources							
13	IUCN tools, methodologies and approaches for assessing and improving natural resource governance are available and used.		118%				
14	Natural resource governance systems assessed (through testing of methodologies) under different management regimes, including protected areas, and corresponding improvement plans developed		1312 %				
15	Community-led, cultural, grassroots or protected area governance systems that achieve the effective and equitable governance of natural resources are recognised (as best practices/pilot testing), supported and promoted, while respecting the rights of nature		133%				
16	Intervention points in which rights regimes related to natural resources are clear, stable, implementable, enforceable and equitable have increased and are effectively integrated with other rights regimes – particularly for women, indigenous people, youth and the poor – have increased		92%				
17	The capacity of institutions (including protected area and customary institutions) to undertake decision making in a participatory, inclusive, effective and equitable manner is enhanced, especially for facilitating the active participation of women, youth and indigenous peoples as key stakeholders.		156%				
18	Intervention points in which natural resource governance has the capacity to halt illegal natural resource use, through the promotion of rule of law and access to justice, have increased		95%				
19	Legal and institutional frameworks for an increased number of transboundary areas, including protected areas, are established and deliver effective and well-implemented natural resource governance		40%				
20	International governance mechanisms for marine areas beyond national jurisdiction, Antarctica and the Arctic are strengthened, including the establishment of marine protected areas		19%	0			
21	The accountability of governments in relation to their commitments under environmental agreements and related policy frameworks is enhanced.		69%				
Programme Area 3. Deploying nature-based solutions to societal challenges							
22	IUCN and partners are equipped to systematically collect and compile disaggregated data that enables the assessment of the material benefits and cultural values that flow from ecosystems to, inter alia, indigenous peoples and local communities		77%				
23	IUCN and partners have a peer-reviewed framework and tools to guide the targeting of nature-based solutions and assessment of nature-based solutions effectiveness in contributing to relevant SDGs and Aichi Targets at national or sub-national levels		64%				
24	Key nature-based solutions interventions promoted by IUCN, (e.g. Forest Landscape Restoration, Disaster Risk Reduction, and Mangroves for the Future, river basin management and protected areas) are equipped to systematically assess and monitor the requisite in-country enabling frameworks, including legal, customary, institutional and resourcing mechanisms for implementation		154%				
25	Legal, policy and institutional mechanisms (at the national and sub-national level) that support and reward ecosystem stewardship by local communities and other resource managers for the delivery of societal benefits have been piloted and documented		103%				
26	Mechanisms to facilitate the active participation of women, youth and indigenous peoples as key stakeholders in the design and implementation of nature-based solutions are tested, evaluated and promoted		159%	99.5 %			
27	Additional international or national financial mechanisms that encourage the deployment of nature-based solutions are established and /or strengthened		121%	67%			
28	New national, sub-national or corporate planning and investment frameworks are effectively implemented in productive ecosystems to contribute to biodiversity conservation, sustainably deliver ecosystem goods and services and promote 'land degradation neutrality'.		102%	71%			
29	Restoration processes and methodologies make demonstrable contributions to the restitution of key ecosystem services in degraded landscapes, watersheds and seascapes.		25%				
30	Legal, customary and institutional mechanisms and resourcing are effectively implemented to maintain intact, natural and semi-natural ecosystems that deliver benefits to society, including existing and new protected areas.		70%	32%			

Table 1 shows some inconsistencies between the traffic light system and the average percentage of progress per indicator. For instance, Target 29 is considered as “on track to achieve target” while it is only at 25% of progress. In addition, a number of targets are considered as “achieved” while the average percentage of progress is below 100%. The progress on lowest performing indicator show that the traffic light associated to some targets is optimistic. For instance, Target 6 or Target 12 are considered “achieved” while they still have an indicator at respectively only 37% and 55% of achievement.

Interviews showed that the tracking exercise varies significantly across targets. While targets on knowledge generation are rather straightforward to monitor, it is not the case for targets related to policy and governance processes, over which IUCN has limited control and where attribution is difficult to track.

Overall, targets were extremely ambitious in the IUCN Programme 2017-2020, and the constituencies responsible for the achievement of each target were not defined, making it unclear what the Secretariat, Commissions, members, Union as a whole were each expected to contribute. In addition, many targets were outside of IUCN control. This design flaw makes reporting the achievement of Programme targets difficult, and not always representative.

Programme sub-results and global results

The expected IUCN Programme 2017-2020 global results and sub-results are presented in Figure 1. The different stakeholders interviewed for this Review widely recognize the value of the work produced by IUCN. The RedList of Threatened Species (RLTS) as well as achievements on Nature-based Solutions (NBS) were for instance often mentioned as key successes. The fact that IUCN’s portfolio keeps growing can also be seen a sign of a good track record, showing that IUCN is able to achieve the results expected by its donors. It does not say much, however, on whether that would always match what IUCN and its membership as a whole would consider “effective.”

Nevertheless, a major weakness in IUCN Programme 2017-2020 is in the absence of monitoring of progress towards the achievement of Programme results. As it can be seen in Table 1, progress is tracked against targets, but not against results. There is no system in place to aggregate the results achieved by projects and programmes at the Global Programme level. In addition, it should be noted that the traffic light assessment in place is only used to report on the Secretariat’s efforts and does not systematically include contributions from IUCN members and Commissions. It is therefore not possible to assess the overall effectiveness of the Programme.

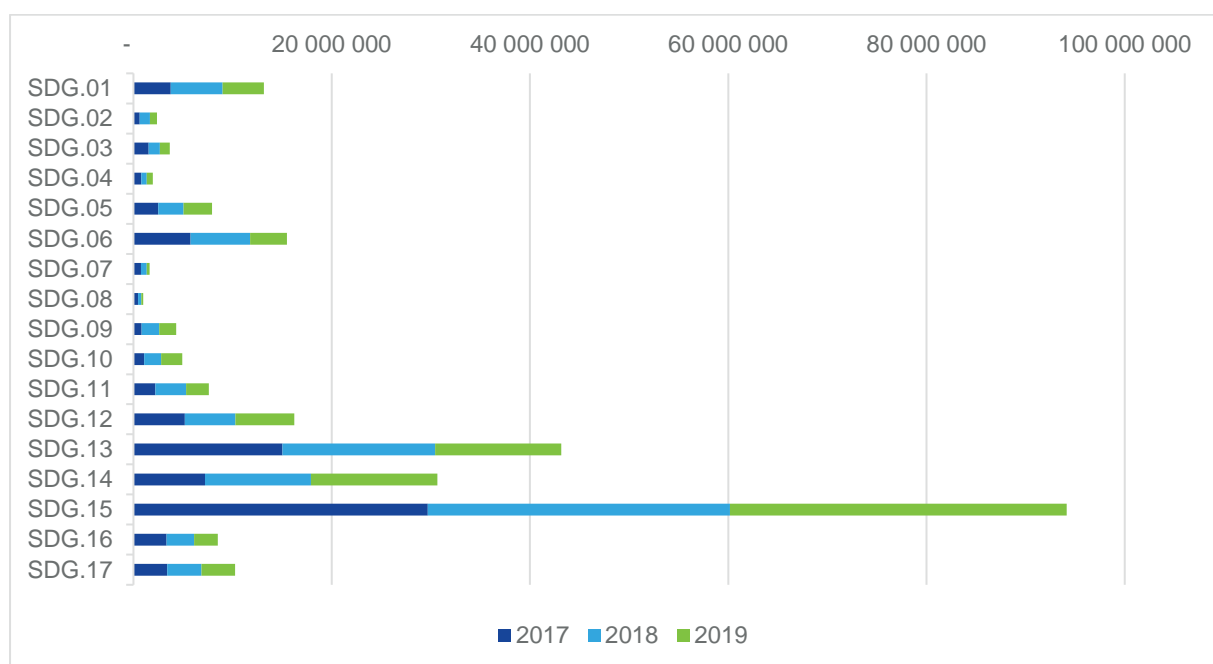
Interviewed stakeholders tend to believe that IUCN is performing well in the achievement of its results, mostly basing their judgement on the traffic light system presented in Table 1, which is positive and optimistic overall. However, as developed above, we have seen that this traffic light assessment has certain limitations. In addition, a 4-year period is quite short for a Programme of this magnitude to achieve results. In this sense, the 10-year timeframe proposed for the 2021-2024 Programme seems more adequate.

SDGs and Aichi Targets

At the design stage, each project of the IUCN portfolio must select not only the Programme targets it will contribute to, but also the SDGs and Aichi targets. During project implementation, project teams then report on expenditure according to the goals or targets they have selected.

Figure 4 below shows the expenditure per SDG for 2017, 2018 and 2019.

Figure 4: Expenditure per SDG 2017, 2018, 2019 (CHF)³²



There are significant disparities between SDGs. Four tiers emerge:

- SDG 15 “Life on Land” is far above all the other with 35% of expenditures
- SDG 13 “Climate Action” and 14 “Life below water” follow far behind with 16% and 11% respectively
- SDG 12 “responsible consumption and production”, 06 “Clean water and sanitation”, and 01 “no poverty” received between 6 and 5%
- The rest of the SDG received 4% or less.

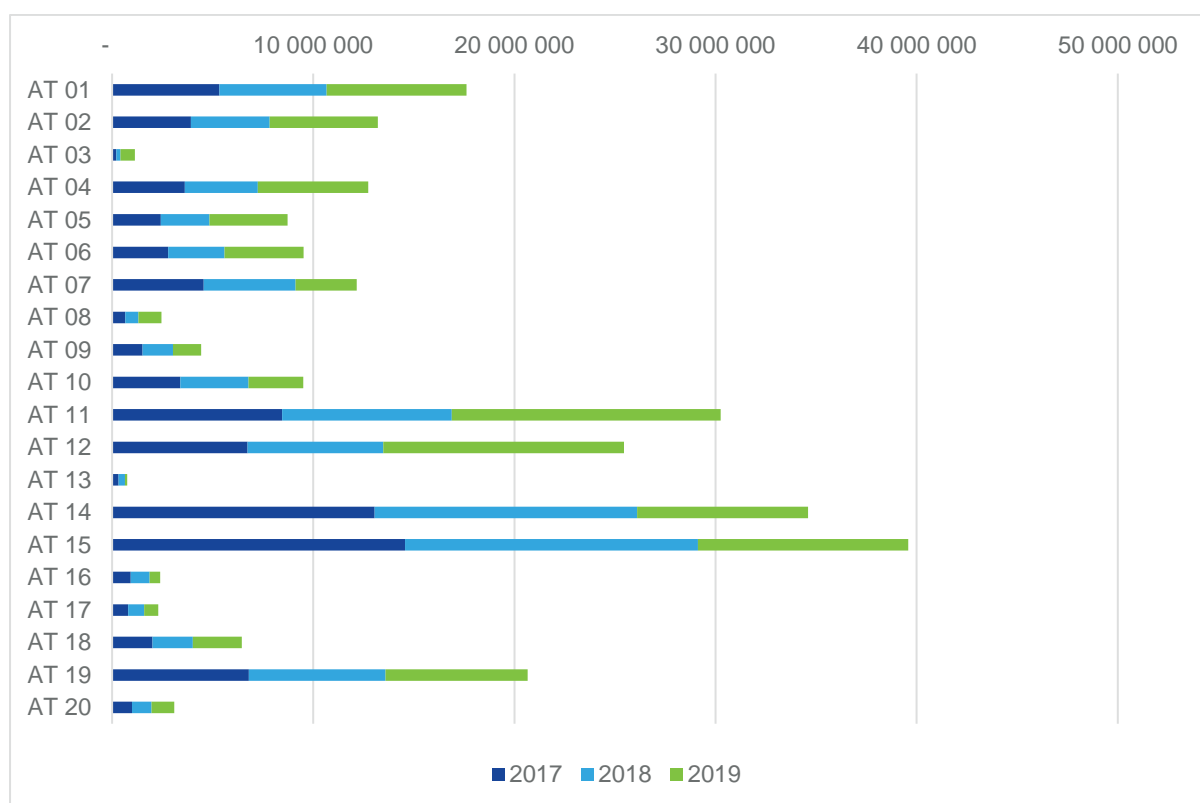
Given IUCN positioning and objective, it seems normal that it contributes the most to SDG 15 and 14. The significant difference in expenditures between SDG 15 and 14 shows that IUCN is focusing more on terrestrial than marine ecosystems. The relative importance of SDG 13 in the distribution of expenditures interestingly shows the increasing role of IUCN in climate action. However, given IUCN’s involvement in policy and governance, as well as its convening power as a Union, it is surprising to note the limited weight of SDG16 and 17. However, reporting and tracking on those more transversal SDGs is challenging, and IUCN contribution in these fields might not be well represented by project expenditures, nor adequately

³² Based on financial data provided to the review team on March 20th, 2020

recognized or tracked, and therefore not reflected in Figure 4. Given IUCN's growing effort in gender equality, higher expenditures could also be expected for SDG 5.

Figure 5 below shows the expenditure per Aichi Target (AT) for 2017, 2018 and 2019.

Figure 5: Expenditure per Aichi targets 2017, 2018, 2019 (CHF)³³



Aichi targets 15, 14, 11 and 12 receive the highest proportion of expenditure, with respectively 15%, 13%, 12% and 10%. Targets 19 and 1 receive respectively 8 and 7%. Targets 2, 4, 7 receive 5%, while the rest of the Aichi targets receive less than 5% of expenditures. This shows that most of IUCN expenditures contribute to Strategic goal D “Enhance the benefit to all from biodiversity and ecosystem services” (in particular through AT 15 and 14), and C “To improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity” (in particular through AT 11 and 12). The relative importance of knowledge and science-based technologies (AT 19), and awareness raising (AT1) can also be noted. IUCN seems to contribute the least to Strategic Goal B: “Reduce the direct pressures on biodiversity and promote sustainable use”. The repartition of expenditures across Aichi targets is overall in line with the Programme objectives.

While these figures show the SDG and Aichi targets to which the IUCN portfolio is contributing the most, there is no indication on the type and quality of the contribution provided beyond strictly expenditures. This greatly limits the judgement that can be made as to the real scope of IUCN contribution to these goals and targets. While it is interesting to report on international objectives, the actual system is input-based and insufficiently reliable, and a real result

³³ Based on financial data provided to the review team on March 20th, 2020

monitoring system is required to be able to robustly track IUCN's results and contributions in a more concrete manner.

2.2.2. MONITORING & EVALUATION SYSTEM

IUCN Programme Results Framework

The IUCN Programme has a results framework that includes 3 global results, 9 sub-results (presented in Figure 1), 30 targets (presented in Table 1), 55 indicators with baseline data, as well as the responsible unit and the data source for tracking progress on indicators. The 55 indicators are at the target level. There are no indicators at the sub-result or global result levels. As detailed in the Impact section below, each one of the 3 Programme Areas also has a set of 4 or 5 impact indicators, but these 14 impact indicators are not tracked in the project portal nor reported on in the Annual Progress reports.

The IUCN results framework identified 4 main types of data sources to inform its 55 indicators:

- Publicly available datasets: IUCN Red List, IUCN Red List of Ecosystem, World database on protected areas, IBAT, ECOLEX, Bonn challenge barometer, ISI web of science, etc.
- National reports from international conventions: CBD National reports, CITES national reports, UNFCCC INDC, etc.
- IUCN Commission: CEC, SSC Invasive species specialist group
- IUCN Global Programmes: IUCN Marine and Polar
- IUCN Project Portal

These different data sources show that indicators are tracked at vastly different levels. For some policy-related indicators, IUCN's contribution is difficult to measure. For instance, indicators for Target 6 "the implementation of commitments under biodiversity-related conventions and international agreements is accelerated" measure the proportion of commitments of biodiversity-related conventions that are implemented. It is extremely difficult to trace back the contribution of IUCN towards this indicator and see the difference with a business as usual scenario without IUCN intervention. Other indicators are rather at the Secretariat level and measure for instance the number of IUCN projects acting on a specific topic. These are usually measured through the project portal.

Project Portal

Since 2015, IUCN has invested in the development of a project management information system (called the project portal) to provide an online centralized information system collecting all relevant information at project, programme and portfolio levels. Data generated through the portal is supposed to enable the reporting on progress towards the IUCN Programme targets and overall delivery. The Programme 2017-2020 planned that "each project run by the Secretariat and Commissions will report against the global indicators that are most relevant to its work through the IUCN Project Portal"³⁴. A significant amount of information presented in the Annual progress reports 2017, 2018 and 2019 is extracted from the Project Portal, which

³⁴ IUCN Programme 2017-2020

shows that this tool is useful to present monitoring information on the Programme at the global level.

However, and as discussed further in the sub-section below on the different levels of monitoring that are part of IUCN's M&E system, interviews conducted showed that the Portal still needs to be improved. It needs to evolve from a system that captures the alignment of projects (at the conceptualisation stage) with IUCN Programme results /targets /indicators, to one that allows project-based contributions to the Programme (Secretariat, Commissions and Members) to be tracked and measured over time, in order to ultimately facilitate the estimation of IUCN's overall contribution to conservation. According to some interviewees, data collected through the project portal to inform progress on indicators in the Programme results framework is considered not fully reliable since some teams might not have understood properly the indicator they reported on. Overall, there is a need to further strengthen the understanding of Programme indicators to ensure quality reporting.

Different levels of monitoring

As explained in the Evaluation policy, IUCN's monitoring happens at 3 main levels:

- **Programme monitoring:** measures the contribution of an IUCN programme or region to the achievement of IUCN's Global Programme results. Each IUCN programme or region report on an annual basis on implementation progress and delivery of results.
- **Project portfolio monitoring:** measures the health, performance and risks associated with a programme portfolio, including growth/decline, reliance on unsecured income, cost recovery and risks associated with project implementation. IUCN programmes and regions report on a quarterly basis against agreed risk indicators.
- **Project monitoring:** measures and reports on the implementation progress of a project while it is being implemented. The format and deadlines for reporting are typically determined by the project donor and reporting is often against a logical framework and set of indicators agreed at the start of the project³⁵.

While project monitoring is considered as robust by a majority of interviewees, the exercise is more difficult at the Programme level. Interviews showed a disconnect between the Programme and the project monitoring. According to some of the teams interviewed, the project portal forces project teams to report on metrics that are outside of their projects' objectives, which makes the portal irrelevant to track what projects actually do.

There is a gap between the IUCN Programme's objectives, and what is measured through the M&E system. According to an interviewee "the Secretariat is trying to measure things they are not doing while not measuring what they're actually doing". The current M&E system does not link specific project results to Programme sub-results, global results and impacts nor does it allow tracking of progress over time, or aggregation of portfolio results. Progress is only tracked at the target level through the project portal.

³⁵ IUCN. 2013. The IUCN Monitoring and Evaluation Policy

There is a general agreement amongst interviewed stakeholders that IUCN's M&E has improved a lot in the last 10 years, but that there is still a lot of room for improvement to make the system more relevant, effective and efficient.

In the corporate risk register (version 04.10.2019), the Program and project M&E category poses the following risk "IUCN programmatic/project results management may not be able to deliver a strong bias for accountability, reporting and learning", which is rated as Tier 1 Extreme. Only 3 out of 52 risks in total are rated as extreme. M&E is therefore amongst the 3 highest risks for the organization.

Union contribution

Commissions

The IUCN Commissions report progress on their work yearly at the IUCN Council. They do not have a specific reporting template. When a commission is associated to a motion voted at the IUCN congress, they have to report progress on it at the Council.

Commissions can also be responsible for specific indicators of the IUCN Programme. For instance, in the IUCN 2017-2020 Programme, The Commission on Education and Communication (CEC) was responsible for tracking progress towards target 12: "NatureForAll raises awareness of nature and its values and enables more people to experience, connect with, and take action to conserve nature".

Some global thematic programmes/units have tried to develop joint workplans with a Commission in order to integrate their work in their monitoring. Some Commissions have also tried to align their strategic planning to the IUCN global Programme. Nevertheless, monitoring the work of Commissions remains overall difficult and inconsistent, and as a result, their achievements and contributions are not always integrated nor accounted for at the global Programme level. Some interviewees mentioned that the correlation between the IUCN Global Programme and the work of the Commissions should be done in a more consistent way at the beginning of the intersessional period. Others consider that Commissions do not have the same planning trajectory that programs and projects have and should therefore remain flexible to be able to remain at the forefront of innovation and emerging new issues.

Members

The IUCN Programme 2017-2020 planned that "*Voluntary reporting will be enabled for Members and Member Committees during the intersessional period in order to capture Members' contributions to the IUCN Programme and the achievement of the SDGs and the Aichi Targets*"³⁶. However, members are not reporting their contribution towards the IUCN Programme targets and results. Interviewees mentioned that there was either no mechanism for them to do so, or that it was overly complicated.

Even though some targets of the IUCN Programme 2017-2020 are too ambitious to rely only on the work of the IUCN Secretariat and should therefore encompass the contribution of the whole Union, the M&E framework in place does not allow the contribution of the Commissions

³⁶ IUCN Programme 2017-2020

and members to be properly measured. Indeed, no budget was allocated in the 2017-220 period to building a mechanism for reporting Member/Commission contributions to the IUCN Programme targets and results.

Nevertheless, the Council adopted the IUCN membership strategy 2020-2030 in February 2020. The first objective relates to the strategic engagement of members. Under this objective, the strategy includes the following action: “Establish indicators for Member participation and contribution to the Union’s governance processes as well as in the implementation and monitoring of the IUCN Programme at a national, regional and global level. Results to be used to monitor and further develop the Member engagement plan”³⁷. The membership strategy has therefore the potential to improve the integration of members’ contribution into the overall monitoring of the IUCN Programme results.

While the next intersessional Programme 2021-2024 is outside of the scope of this review, it seems that it will address some of these issues by clearly stating the targets that fall under the responsibility of the Union as a whole, and the ones under the responsibility of the IUCN Secretariat. It should also allow for an easy to use volunteer-based reporting from IUCN members.

Evaluation

According to the 2013 IUCN Evaluation Policy:

- Irrespective of donor requirements, every IUCN project with a value over CHF500,000 will develop and implement a monitoring plan with indicators and plan for an end of project evaluation;
- In addition to the above, every IUCN project with a value over CHF2,000,000 will add a mid-term evaluation to its monitoring and evaluation plan; and
- Every evaluation will trigger the development of a management response³⁸.

However, interviews showed that project and program evaluations are not conducted systematically. According to an informed source, budget for evaluations is rarely set aside in project budgets, and sometime evaluation can be directly conducted by the donor, or by the project lead when IUCN is a sub-recipient, meaning that the evaluation report does not necessarily come back to IUCN. Overall, few IUCN projects are evaluated, and there is no dedicated evaluation budget outside of project budgets.

In addition, the timing of IUCN global external reviews is not adequate to inform the development of the next 4-year Programme. New Global Programmes are usually already developed by the time the external review is finished. This significantly limits the ability for the organization to learn from the past Programme and feed lessons into the next one.

Resources

The PMER unit in HQ includes a head of unit, a portal manager, and a risk officer. Other M&E officers can be found in global HQ units (such as the NBS Group for instance), or at the

³⁷ IUCN. 2020. Draft Membership Strategy 2020-2030

³⁸ IUCN. 2013. The IUCN Monitoring and Evaluation Policy

regional level. The PMER unit at HQ is responsible for: coordinating M&E activities, M&E standard setting and implementation, implementation of the M&E policy, working with senior management and council to prepare M&E workplans and reporting, liaising with IUCN donors, and ensuring that M&E tools are in line with international best practices. Individual project and programme managers are primarily responsible for monitoring and reporting and using the results of project and programme evaluations³⁹. Regional M&E coordinators are now in place in most regions and M&E focal points have been hired in several projects. However, resources remain tight since in ESARO for instance, only 1 regional staff is dedicated to M&E in the whole region.

M&E resources are therefore extremely tight for an organization of the size of IUCN.

Lessons Learned

The documentation review and interviews conducted for this Review showed that there is no mechanism in place to systematically collect lessons learned at the project, program, region, unit or Global Programme level. The project portal does not track lessons learned.

Some lessons learned are still captured sporadically, but not in a systematic manner. For instance, some units like business and biodiversity are recognized as having a stronger learning component, some Commissions consider that they have the space to exchange and share lessons with other Commissions, some regions like ESARO produce lessons learned reports and organize quarterly reflection meetings where they share lessons, etc. PANORAMA, a web platform created in partnership with IUCN that compiles information on more than 500 case studies around the world, was mentioned as a useful tool to share experiences and lessons learned. However, the tool is relatively recent, and was incorporated within IUCN's Project Appraisal and Approval System (PAAS) templates in March 2019. Therefore, all project managers are prompted to use PANORAMA as a means to capture lessons learnt and share experiences, but this not yet being done systematically at the global/organizational level. Interviews revealed that project monitoring was mostly focused on accountability to donors, without capturing lessons learned to aggregate them at the Programme level and act upon them.

Monitoring and evaluation is therefore important to invest in for IUCN, especially as it leads to learning, going beyond accountability but with a formative learning approach.

2.2.3. ONE PROGRAMME APPROACH

The One Programme charter was endorsed by the 2012 IUCN Congress. It states that the different IUCN constituencies— government and NGO Members, Council, National and Regional Committees, Commissions, and the Secretariat – work together to develop, implement and advance IUCN's Programmes. The charter is guided by the 4 following principles:

- To deliver the Programme at the most appropriate level, using the best-placed part(s) of the Union to deliver national, regional or global results;
- To cooperate and not compete for roles and resources;

³⁹ IUCN. 2013. The IUCN Monitoring and Evaluation Policy

- To allocate resources to the part(s) of the Union responsible for delivery; and
- To communicate openly and transparently to keep each other informed of plans and activities IUCN Programme.

According to the draft Annual Progress Report 2019, 66% of Secretariat projects involved other constituencies of the Union (members, Commission, Regional/National Committees) in 2019, compared to 73,8% in 2018 and 66.9% in 2017. This engagement included project design, co-financing, time involvement or directly through a paid contract. It should be noted that knowledge products such as the Red List for which Members and Commission members are significantly engaged are not tracked through the Portal and are therefore not included in these statistics. Union engagement could therefore be underestimated in these figures. It also shows that the tracking system is not fully representative.

Based on data from the draft Annual Progress Report 2019, Figure 6 below shows the proportion of projects that involved different constituencies, and the proportion of expenditures channeled through members, committees, and Commissions from 2017 to 2019.

Figure 6 : Distribution of the portfolio and expenditures across IUCN constituencies (% of total number of projects and total expenditure per year)⁴⁰

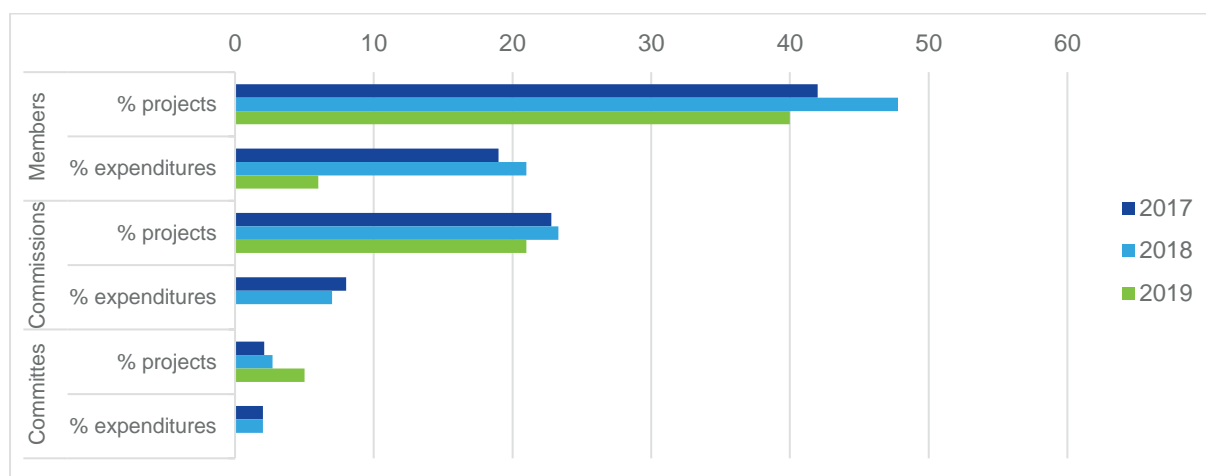


Figure 6 shows that the level of engagement of IUCN constituencies varies significantly. Engagement with IUCN committees is extremely limited in terms of both number of projects and expenditures, even though a significant increase appears in the number of projects for 2019. Engagement through Commissions in terms of projects is relatively stable (around 20-25%) while the proportion of expenditures remains low (7-8% for 2017 and 2018). Engagement with members is the strongest with more than 40% of projects involving members, which received around 20% of total expenditure in 2017 and 2018. A significant decline in spending across all 3 IUCN constituencies in 2019 can be noted, which is probably due to delays in entering data in the project portal (the issue was still under investigation by the Secretariat at the time of this review).

⁴⁰ Based on data from the draft annual report 2019

Overall, the One Programme approach is well known, understood, and supported by stakeholders. It is considered as a major strength of the Union, which makes it unique. However, its effective implementation is challenging at different levels:

- As mentioned in the Efficiency section below, funding strategies do not always support the One Programme approach. The reliance of IUCN Secretariat on project funding can result in a perception of competition over funding between the IUCN Secretariat and the members. The 2019 Governance review⁴¹ highlighted that *“regional and national offices sometimes fail to sufficiently coordinate with members in their regions or countries. A number of regional offices lack budget and resources to be able to proactively engage with members. A number of members have expressed the view that the implementation of projects at the regional level is competing for resources with their own efforts. Many members may not have sufficient knowledge or be empowered enough to respond to this type of competition for resources”*.
- Communication between HQ and regional and national offices could be improved. Several examples were given during interviews where a person from HQ goes to a country without having informed the national or regional office, therefore without building on the specific relationships that the office has built over time with national and regional stakeholders. This also impacts the credibility of IUCN as a well-coordinated and professional organization.
- Interviews showed that the coordination between the Secretariat and the Commissions has improved but could still be strengthened. It is sometimes a challenge for IUCN staff to work with the Commissions to follow the One Programme approach. Procurement rules are an obstacle regarding the collaboration with the Commissions as they do not have a legal status and can therefore not be sub-contracted. The independence of the Commission is nevertheless a key strength of IUCN as it prevents political interference with the knowledge base of the Union, which is key for IUCN's credibility and sustainability.
- Even though members are consulted during the development of a new IUCN Programme and approve the Programme during Congress, the process is still considered as Secretariat-driven rather than regionally or nationally driven. In addition, several examples of lack of communication were mentioned in interviews. One example was a head of global programmes from HQ coming to the country of an IUCN council member without informing him or her about their meeting with the Government. Interviews suggested that there seem to be a closer engagement with members at the regional level than at HQ level. National and regional committees are also not always informed when a person from HQ comes to their country.
- Interviews conducted for the Review showed that there was still a need to clarify what should be the roles and responsibilities of the different entities of the Union in delivering the Programme. The Draft Programme 2021-2024 is supposed to address this issue by being a Union Programme, defining the responsibility of each constituency.
- The shift from retail to wholesale promoted by the former director general is in line with the One Programme approach. It is considered as a powerful tool to leverage the power of the Union as whole while preventing competition with members over smaller

⁴¹ SGA. 2019. External review of aspects of IUCN's governance

grants. This shift is ongoing, and many projects are still considered as a source of competition with members. In addition, although IUCN's accreditation to the GEF and GCF follows the retail to wholesale approach, some interviewees consider that it can also be a source of competition since other IUCN members such as WWF are also accredited to these multilateral funds.

Overall, what transpires from the Review process is that the idea and principles behind the One Programme approach are widely shared and recognized amongst the Union, but the approach is still not fully implemented and would require some clarification and improvement at the strategic and organizational levels. The IUCN membership strategy 2020-2030 that was approved at the February 2020 Council includes as a target "The One Programme Approach is implemented across the Union and is effectively monitored and evaluated". It also aims to develop a membership engagement plan that includes actions at regional and national levels, through local offices and National/Regional Committees; as well as to establish indicators for implementation of the One Programme Charter. The implementation of this strategy could therefore lead to an improvement of the implementation of the One Programme approach.

2.2.4. COMMUNICATION ABOUT THE PROGRAMME

Corporate communications at IUCN are ensured by the Global Communications Unit (GCU). As per its updated strategy (dated 28 June 2019), its objectives are to:

- Raise IUCN's recognition with target audiences,
- Align IUCN's reputation with its desired positioning as the global authority on nature, the measures needed to safeguard it, and its contributions to addressing global challenges,
- Strengthen the credibility of IUCN's outputs,
- Establish IUCN as an essential contributor in achieving global priorities beyond conservation, especially SDGs, and
- Support Membership and strengthen Union.

To achieve these objectives, the GCU gathers a team of 6 to 8 professionals, and in addition to salaries, has an operational budget of CHF15,000, an amount that does not allow for the development of major communication products.

Communication channels used include web products, social media, videos, corporate publications, speeches, events, issues briefs, editorials and media relations. These products are targeting State and civil society members, government policy makers, donors and development agencies, business partners, world leaders and organizations with overlapping objectives, as well as the media.

Communicating on the IUCN Programme itself is not an objective of the GCU per se since the Programme is not easy to understand for everyone. Nevertheless, the GCU tries to refer to Programme objectives, SDGs and Aichi targets as far as possible in communication products.

Following the recommendations on communication issued by the External Review 2015, the Secretariat has completed a number of actions in the past four years:

- The website was revamped, and the format of the IUCN Annual Report was significantly revised and reformatted,
- IUCN prepared its new communication strategy and derivative strategies (content, media relation and social media),
- The Global Communication Unit has increased its focus on policy-related communications and has launched a new series of issues briefs to help communicate IUCN work to inform, non-expert audiences, especially regarding IUCN contribution to SDGs, food security, climate change and poverty,
- Matrix management of all corporate staff was enabled in 2016⁴². The global communications team, while focused mainly on corporate communications, works closely with programmatic communicators to ensure that IUCN standards are followed, that the IUCN brand is promoted properly and that all communications are of high quality⁴³.

At the regional level, interviewed stakeholders (IUCN staff as well as members) were generally satisfied with IUCN's **external communication** and found the channels diverse and appropriate (official communication, publication, email, social network, website, etc.). National and regional IUCN staff interviewed generally demonstrate good knowledge of the Programme, which they usually had the opportunity to discuss and get well acquainted with during the regional fora organized at design stage.

The interview process nevertheless revealed that IUCN could have a presence in more fora and strategic dialogues (donor dialogues, wildlife group, etc.) at the national level to increase its influence and visibility, especially given that IUCN's knowledge products are considered reliable and relevant to inform important national processes (new policies, etc.). This vision was also shared at the global level, where it is sometimes considered that IUCN is not doing enough on communication and advocacy work. However, this would require a full campaigning budget which is outside of the current scope of the GCU that solely focuses on corporate communication. On these aspects, there is a debate on how and what the Union should be communicating: could IUCN achieve much more by investing in advocacy and campaigning?; or should it remain a credible science-based and politically neutral organization, leaving campaigning and public awareness aspects to members?⁴⁴

Internal communication about the Programme, which is not the responsibility of the GCU, is considered by some as too limited and not systematic enough⁴⁵. It is up to the managers to introduce or not the IUCN Programme to their team, while it could be part of a more formal corporate induction for all new staff.

⁴² IUCN. 2019. Annual Progress Report 2018

⁴³ Management Response to external review 2015

⁴⁴ For example, members such as WWF target their communication to the general public with significant campaigning budgets invested for this purpose

⁴⁵ Note: internal communication does not fall under the Global Communications Unit responsibility

2.2.5. COMMUNICATION AND COORDINATION BETWEEN IUCN AND ITS FRAMEWORK DONORS

The IUCN Secretariat has, in its headquarters in Gland, a Global Strategic Partnership Unit dedicated to the coordination with framework donors. The unit also coordinates at the global level the partnership with other donors. Interviews showed that a significant proportion of IUCN fundraising is also done directly through the programmes and/or regions.

For the 2017-2020 intersessional period, IUCN received unrestricted framework funding from the following framework partners:

- Ministry for Foreign Affairs of Finland;
- Government of France: French Development Agency, Ministry for the Ecological and Inclusive Transition, Ministry for Europe and Foreign Affairs, Ministry for Overseas territories, Ministry of Agriculture and Food;
- Ministry of Environment, Republic of Korea;
- Norwegian Agency for Development Cooperation, Norway;
- Swedish International Development Cooperation Agency;
- Swiss Agency for Development and Cooperation; and
- United States State Department.

Income received from framework donors amounted to CHF 11.2 million in 2018, CHF 11,6 million in 2019 and CHF 12.6 million was secured for 2020⁴⁶.

Framework donors meet once a year at IUCN HQ at the framework donor meeting organized by the Strategic Partnership Unit. Outside of this meeting, interviews showed that IUCN focal persons within framework donors do not meet, mainly due to lack of time and capacities on their end. Communication channels from IUCN to the donors are considered adequate, with a good amount of information provided. For instance, a portal has been set up to improve the sharing of information and communication with framework donors. However, its use is extremely limited, and some donors recognize that they could be better organized and coordinated to make the communication more effective. Besides these official channels, the director of the Strategic Partnership Unit engages regularly on a bilateral basis with the framework partners.

Interviews showed that communication about IUCN external reviews could be improved towards framework partners, making sure they are duly informed of the Evaluation programme for the 4-year period, and involved at an early stage of their implementation.

IUCN framework donors are aware of the IUCN Programme and follow its monitoring through Annual progress reports. They are associated with the development process of the Programme, even though they are not considered to have a high influence on its content. This is however generally accepted as the Programme is expected to reflect the priorities of the Union and IUCN members, and not the ones of the donors.

⁴⁶ Data shared by the Strategic partnership unit with the review team on multi-year contribution from framework partners.

Conclusion to Question 2: Has the IUCN Programme been effective in achieving its objectives?

The Review concludes that, overall, the IUCN Programme 2017-2020 has been effective in achieving its objectives. However, due to the weak M&E system - without systematic reporting and result aggregation from the particular projects, programmes and other activities that are expected to contribute to the Programme – the ability of the Review team to provide a more nuanced assessment on result achievement is limited. A more fully implemented One Programme Approach, as well as a strengthened communication to reinforce visibility could positively affect the Programme results delivery.

2.3. EFFICIENCY

Q3. Has the IUCN Programme been efficient with regards to its objectives?

2.3.1. PROGRAMS AND PROJECTS IMPLEMENTATION AND MANAGEMENT

Budget Expenditures

Total expenditures include both unrestricted expenditure and program/project expenditures. A comparison between the Financial Plan 2017-2020 and expenditures (presented in the draft 2019 Annual Progress report⁴⁷) shows that actual expenditures were below the initial budget, as illustrated in Figure 7. In 2017, 93% of planned expenditures occurred against 91% in 2018 and 82% in 2019. While restricted expenditures are below budget, core/unrestricted expenditure are slightly above.

Figure 7: Planned vs actual total expenditures in 2017, 2018 and 2019⁴⁸



Focusing at the project level, Table 2 below shows that **project/program expenditures** for 2017, 2018 and 2019 were below the rate of expenditure that was planned in the annual budgets, respectively 80%, 76% and 72%. Budget execution rate at project level over the period is therefore moderately satisfactory.

Table 2 : Planned vs actual project expenditure 2017-2019 (CHF m)⁴⁹

Year	Budgeted project expenditures	Actual expenditure	Rate of expenditures
2017	119.5	95.4	80%
2018	122.7	93.4	76%
2019	124.5	89.1	72%

⁴⁷ IUCN. 2020. Draft Progress Report 2019. Data from this draft was used before final approval from Global Programme Directors and acting Director General.

⁴⁸ Based on data from IUCN. 2020. Annual Progress Report 2019

⁴⁹ Compiled from Global Core Management report 2019 and 2018

According to the financial plan 2017-2020 “total projected annual expenditure for 2017 is CHF 133m, which represents a slight increase compared to 2016 forecast expenditure of CHF 131m. Steady growth in project expenditure is expected from 2018 onwards, taking total annual expenditure to CHF 157m by 2020. This is a prudent estimate”. Based on the results provided in Figure 7, the trajectory projected in the financial plan appears overly ambitious and is not likely to materialize.

Delays in implementation

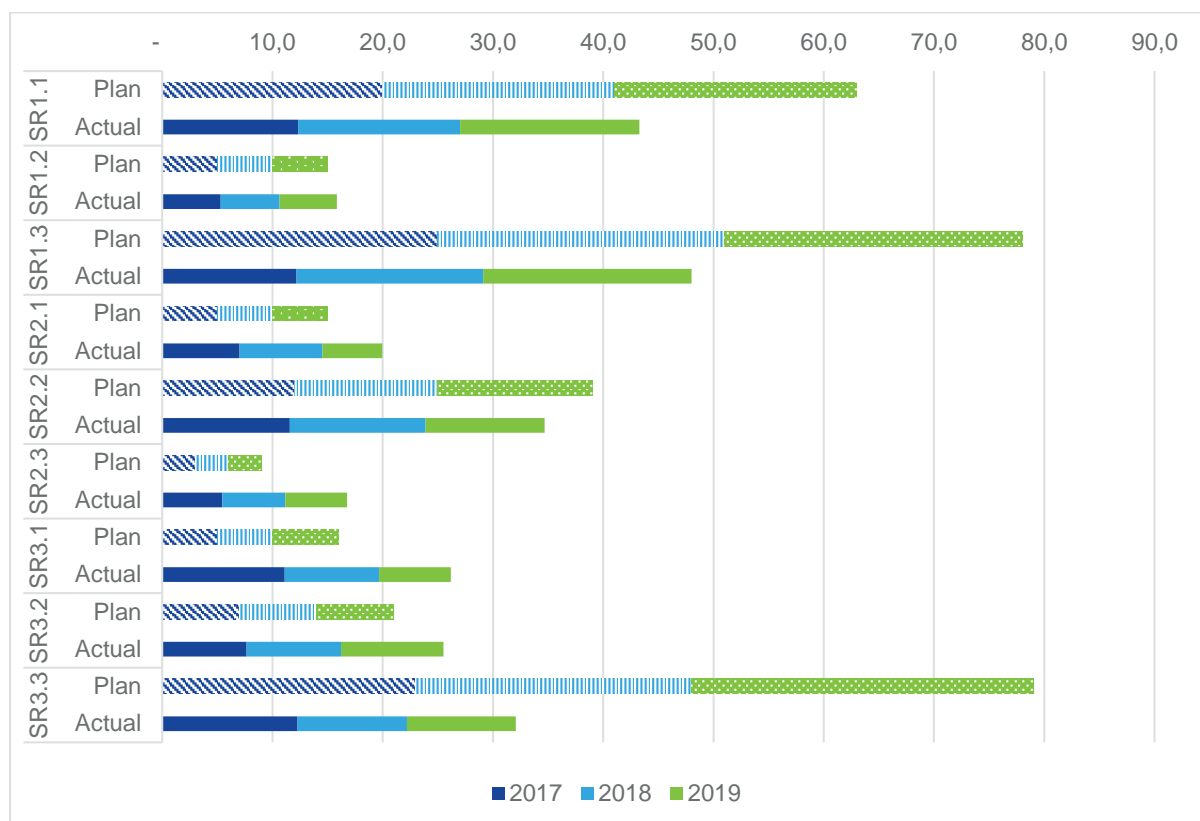
Several projects reviewed faced delays in implementation, which may explain the lower budget execution rate at project level. For instance, expenditures in year 1 and 2 of BIOPAMA II were only reaching 23% of what was originally planned, which is extremely low. The major delay affecting the implementation of this program came from the approval of the operational manual for the grant making component. CONNECT also faced delays in signing sub-award agreements to formalize engagement of the implementing partners, which prevented the start of certain activities. In Kenya and Rwanda, the “Building climate disaster resilience programme for the restoration of catchment ecosystems and livelihood improvement” had not fully delivered on some key outputs at the time of the final evaluation (e.g. Shea butter processing facilities in Uganda and sand dams in Kenya were still under construction). In Rwanda, the project “Monitoring of forest and landscape restoration at the national and local levels” faces some delays due to slow government processes and difficulties with stakeholders.

These examples show that administrative processes, and lengthy grant-making arrangements in particular, can cause important delays in implementation. As long as delays are not caused by internal inefficiencies, they can be acceptable and disbursement rates should not be an objective at all cost at the expense of the quality of the projects. Nevertheless, as IUCN grant-making and implementing agency portfolio is expected to grow, specific attention should be paid to improving efficiency of procedures, for example through specific guidelines and training to relevant staff.

Budget execution per programme sub-results

Figure 8 shows the difference between planned (as in the Financial Plan 2017-2020) and actual expenditures per Programme sub-results (the Programme global results and sub-results are presented in Figure 1).

Figure 8: Planned vs actual expenditure per Programme sub-results (CHF m)⁵⁰



There are significant differences in the rate of expenditures for the different sub-results. The expenditure for 5 out of 9 sub-results exceeded the plan to various degrees (106% for SR1.2 133% for SR2.1, 186% for SR2.3, 164% for SR3.1, 121% for SR3.2), while the expenditure of the 4 remaining sub-results are below the plan (69% for SR1.1, 62% for SR1.3, 89% for SR2.2; 41% for SR3.3). Since the technical reporting does not measure the achievement of sub-results, it is difficult to compare the degree of achievement against budget execution rates.

According to the 2019 draft annual progress report, “in 2019, there was significant progress in the implementation of the IUCN Programme According to this assessment 17 out of 30 targets have been achieved and 90% are on track to be achieved by 2020. Only two targets are at risk not to be met by end of 2020”⁵¹. Considering an average budget execution per year of 89% from 2017 to 2019 - representing 65% of the overall 2017-2020 Programme budget⁵² - it seems that the expenditure rate is commensurate with the level of achievement of Programme targets.

The Review team averaged out the progress on IUCN Programme targets (as per the draft Annual progress report 2019) to consolidate an average progress rate towards the

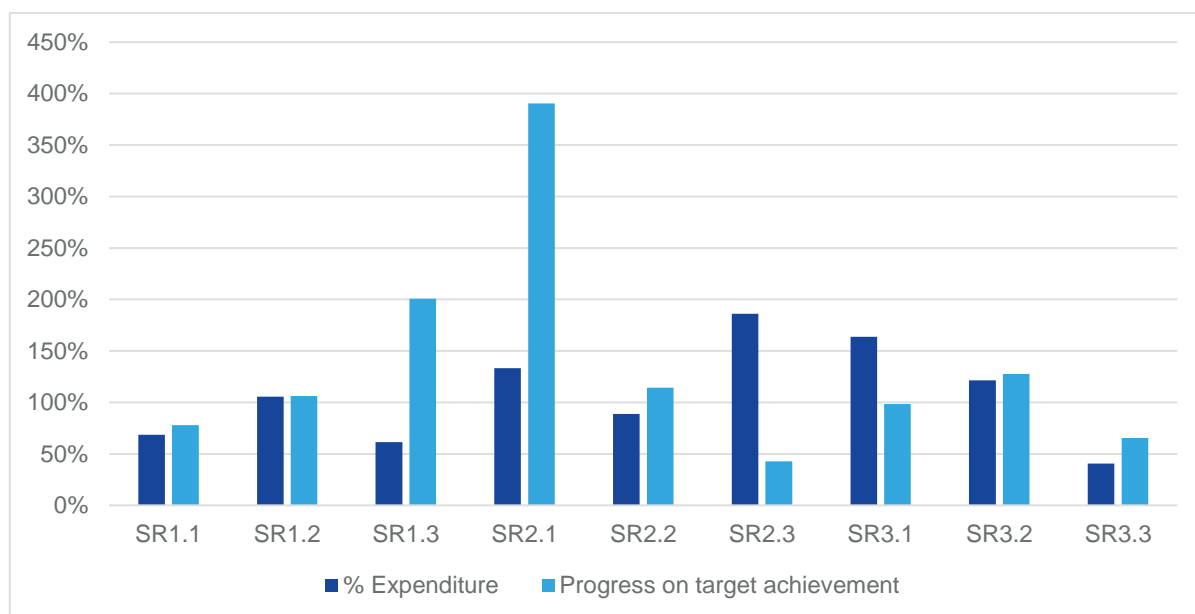
⁵⁰ Based on financial data extracted for the review team

⁵¹ IUCN. 2020. Draft IUCN Annual Progress Report 2019.

⁵² Based on data from the draft annual report 2019, cumulative expenditures at the end of 2019 were 371 m CHF, against a total budget of 575m CHF for the period 2017-2020.

achievement of each sub-result. Figure 9 compares this average progress by sub-result with the proportion of total expenditures⁵³.

Figure 9: Proportion of total expenditures vs average progress on achievement for each Programme sub-result



This exercise should be considered carefully as averaging progress on several target per sub-results is not always representative, and also given the fact that data on target achievement are not always reliable (see section on M&E above). Nevertheless, Figure 9 shows for a few sub-results (SR1.3, SR2.1, SR2.3 and SR3.1) a disconnect between result achievement and the proportion of total expenditures. Hypothetically, this could either reflect poor financial planning during the Programme design (for instance SR1.3 has been exceeded while expenditure are significantly below budget), or poor delivery (for instance SR2.3 is below 50% of achievement while expenditure are above 150% of budget). In any case, such discrepancies clearly confirm the need for a more robust result-based financial management system that makes the links between achievements of results and level of expenditures at the global level.

Indirect costs

The IUCN financial system includes as indirect costs: finance, human resources, IT, administration costs, management and governance costs, and the functions of oversight and legal advice. They do not include costs related to Planning, Monitoring and Evaluation; Communications; Union Development; Strategic Partnerships; and Programme Coordination that are considered to be more programmatic in nature. Indirect costs for 2016, 2017 and 2018 are presented in Table 3.

⁵³ Based on financial data provided to review team on March 20th 2020.

Table 3: Level of indirect costs compared to total expenditure (CHF m)⁵⁴

	2016	2017	2018	2019
Total costs	130	124.3	125	121
Indirect costs	21.6	21.5	21	21.4
% indirect costs	16.6%	17.3%	16.8%	17.7%

This table shows that the percentage of indirect costs remained stable between 2016 and 2019. An analysis of administrative costs from the IUCN organizational review 2017 found that “the level of administration costs in IUCN is similar to many other organizations and varies between 11 and 16 percent for the offices included in this review”⁵⁵. Nevertheless, robust comparison of administrative and indirect costs between organizations is a difficult exercise given the discrepancies between calculation methods.

Financial management

IUCN financial management is considered robust by a large variety of interviewed stakeholders, even though several people mentioned that it could still gain in efficiency. For instance, the new timesheet system was mentioned in several interviews as a significant improvement in efficiency.

The financial documentation that was shared with the Review team at the Programme and project level was overall satisfactory.

It can however be deplored that there is no system in place at the global programme level to track the amount of cofinancing projects and programs are able to leverage. Cofinancing is required by many donors and should be properly defined and monitored both at project and Programme level, also allowing mid-term and final evaluations to include this aspect in their analyses.

2.3.2. RESOURCE MOBILIZATION TO ACHIEVE PROGRAMME OBJECTIVES

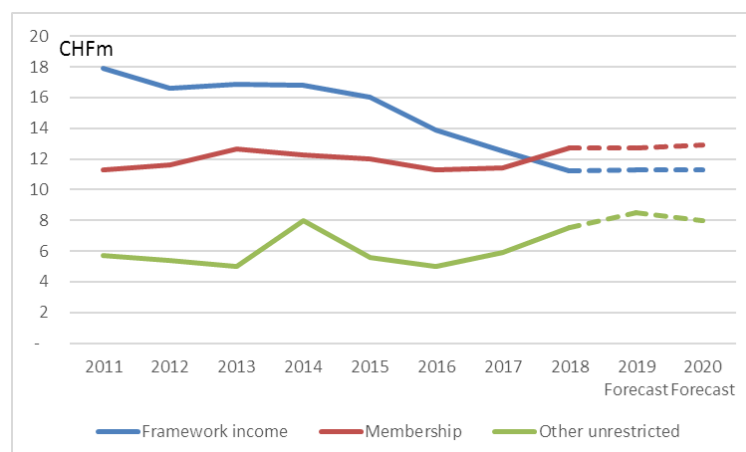
Type of income and general trends

IUCN income can be divided in two types:

- **Restricted income:** income leveraged from the implementation of projects, and
- **Unrestricted income:** Figure 10 shows the trend of unrestricted income since 2011.

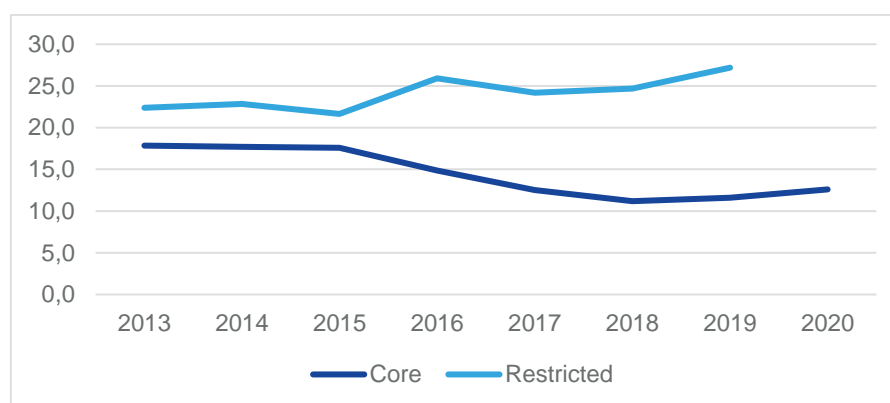
⁵⁴ IUCN.2019. Annual Progress report 2018

⁵⁵ SDA. 2017. Organizational Review of IUCN

Figure 10: Unrestricted income trends 2011-2020⁵⁶

Unrestricted income comes from 3 main sources, as illustrated by Figure 10:

- *Membership dues*: statutory income paid by IUCN Members,
- *Framework income*: programmatic funding from governments that is not tied to particular programmes or projects. Framework income has shown a steady decline over the last 10 years. It can be worth noting on the other end that restricted income from framework donors has been increasing, as shown in Figure 11.

Figure 11: Unrestricted vs restricted income received from framework donors (CHF m)⁵⁷

The decline in framework income reflects changes in donor funding patterns, which are requesting greater levels of accountability and therefore prefer allocating restricted funding to projects/programs. The decrease in unrestricted framework funding (CHF 6.3m between 2013 and 2019) is nevertheless not fully compensated by the increase in restricted funding from framework donors (CHF 4.8m between 2013 and 2019),

⁵⁶ IUCN. 2019. Draft Financial plan 2021-2024.

⁵⁷ Based on data sent from the Strategic Partnership Unit on multi-year contribution from framework partners.

- *Other unrestricted income* (philanthropy, service fees and in-kind goods and services).

Challenges in resource mobilization

Back in 2015, IUCN senior management was already aware of the challenge created by the decrease in unrestricted framework funding, which they intended to address by making the resource mobilization strategy move “from retail to wholesale”. The idea was to focus on more programmatic oriented project fundraising and grant making to increase the size of the project portfolio, the average size of individual projects and improve alignment across the Secretariat and Commissions⁵⁸. The “retail to wholesale” strategy did have an impact on the portfolio: between 2016 and 2019, the average project value increased by 64% and the median project value by 17% while the number of active projects increased by 7% between 2016 and 2019⁵⁹.

However, interviews revealed a lack of funding dedicated to project and portfolio development, even though it is considered key for the organization. As most salaries are paid through projects, there is little flexibility to dedicate staff time for developing new initiatives and mobilize additional resources. This is considered as a major challenge by different teams both at global, regional and national levels.

Even though efforts were made in the past few years, the organization still lacks a robust resource mobilization strategy that is fully tailored to the IUCN Programme and the objectives it aims to achieve. The documentation review and interviews carried out for this Review highlighted persisting weaknesses in the fundraising strategy of the organization as a whole. Although the financial plan 2017-2020 does include a section on resources mobilization for each of the 3 Programme areas, it remains generic and lacks a more detailed operational plan. For instance, to reach the financial target of CHF 212 million for Programme Area 1 “Valuing and conserving nature”, the financial plan states that “*IUCN will proactively partner with foundations, multilateral institutions, private corporations and members to mobilise funds*”, but there is no indication on which of these institutions will be targeted, how, and how much income is expected from each. IUCN also has a business engagement strategy, but it dates back to 2012 and would be worth an update based on IUCN Programme overall objectives.

There is a missing link between (i) what the organization is trying to achieve through its global Programme, (ii) the financial resources that should be sought out to best achieve these results, and (iii) the strategy to be implemented to attract those funds. Interviews confirmed that IUCN’s fundraising was overall more reactive and opportunistic than strategic.

Exercises undertaken by the GEF/GCF unit at the IUCN Secretariat are interesting in this regard. A GEF/GCF strategy group was set up with higher management⁶⁰ to decide how IUCN could best engage with these 2 multilateral funds. As a result, the GEF/GCF Strategy Group defined the niche for IUCN in GEF-7 and for the GCF⁶¹. Such strategic exercises are relevant

⁵⁸ Management response to IUCN External review 2015.

⁵⁹ IUCN. 2020. Draft Annual Progress Report 2019

⁶⁰ The group includes: the acting director general, global director Programme and Policy, regional directors East Africa and Asia, and the GEF/GCF unit)

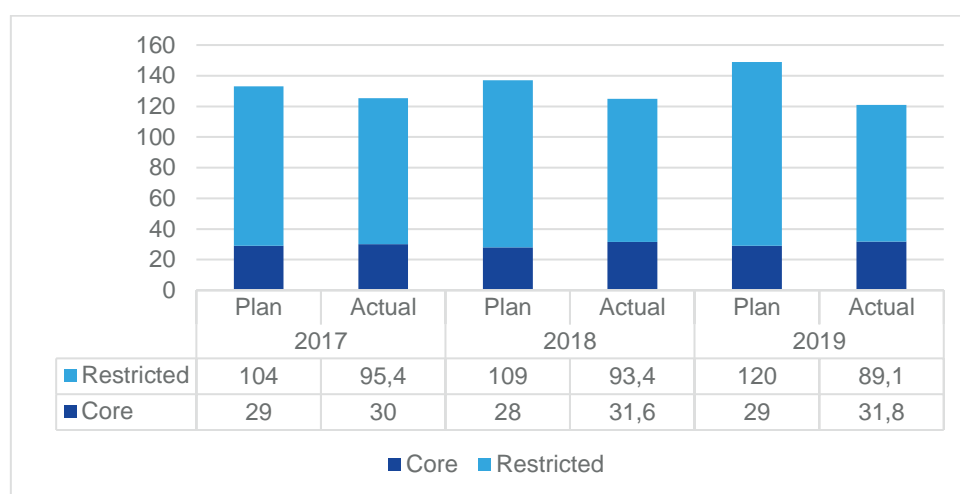
⁶¹ *Niche for IUCN in GEF-7 and IUCN service to countries requesting GCF funding* (endorsed by IUCN GEF/GCF Strategy Group, 24 July 2018)

to focus the fundraising strategy of IUCN according to the niche, added value and mission of the organization.

Alignment between planned and received income

Figure 12 shows the difference between the projected income in the Financial plan 2017-2020, and the actual unrestricted and restricted income received from 2017 to 2019. For the three years, received unrestricted income was slightly above what was planned, while restricted income was lower than expected. In 2017, 94% of planned income (unrestricted + restricted) was received, 91% in 2018 and only 81% in 2019.

Figure 12: Planned vs actual income (unrestricted and restricted) in 2017, 2018 and 2019 (m CHF)⁶²



The draft financial plan 2021-2024 looked at the variance between the financial plan 2017-2020 and the forecasted income for the same period. It shows that the received income is likely to be significantly below budget, even though the portfolio has grown. Two main explanations are given for this variance:

- Portfolio growth has been driven primarily by an increase in GEF/GCF projects and projects that include on-granting as a delivery mechanism. These projects tend to be large and complex in nature and have extended inception phases due to the involvement of multiple partners. The Financial Plan was overly optimistic in the estimate of the lag time between signing the donor contract and the start of project activities, and
- There have been capacity constraints. IUCN has progressively moved into new delivery models, such as the implementing agency model, and re-granting, but organizational capacity has not kept pace with the changes⁶³.

⁶² Based on data from the draft annual progress report 2019.

⁶³ IUCN.2020. Draft Financial Plan 2021-2024

Unrestricted income leveraging ratio

According to the 2018 Annual Progress Report, in 2018 a total of CHF 12.4m of unrestricted income was allocated to regional and global programmes for programmatic activities, which allowed them to leverage CHF 93.3m in project funding. The overall leverage ratio was of 7.1 in 2019, compared to 7.5 in 2018 6.7 in 2017, as described in Table 4.

Table 4 : Unrestricted income allocations and project funds leveraged⁶⁴

(CHF m)	2017			2018			2019		
	UI	RI	L ratio	UI	RI	L ratio	UI	RI	L ratio
Regional Programmes	5,2	54	10,4	5,3	55,5	10,6	5,1	52,3	10,3
Policy and Programme Group	3,2	3	0,9	3,1	2,6	0,8	3,1	2,6	0,8
Biodiversity and Conservation Group	2,3	11,8	5,2	1,8	15,3	8,8	1,7	16,6	9,8
Nature-based solutions group	2,6	20,7	8	2,3	19,9	8,8	2,5	16,4	6,6
Total Global Programmes	8,1	35,5	4,4	7,2	37,8	5,3	7,3	35,6	4,9
Total	13,3	89,5	6,7	12,5	93,3	7,5	12,4	87,9	7,1

UI: Unrestricted Income, RI: Restricted Income, L ratio: Leveraging ratio.

Table 4 shows that the leverage ratio is significantly higher for regional programmes than for global programmes. Amongst the latter, the Policy and Programme group has the lowest leverage ratio (0.9 in 2017 and 0.8 in 2018 and 2019), which reflects the type of activities of this group that is less project-based.

These figures do not include the work, nor the funding leveraged by the IUCN commissions. While receiving an extremely small part of IUCN income (CHF 1.3m in 2018, around 1% of total income⁶⁵), the commissions generate significant knowledge with a high scientific value for the international community, which was reaffirmed in several interviews conducted for the review. The fact that Commissions rely mostly on volunteer time can be considered as additional in-kind cofinancing leveraged from the organizations that support the commission members. An exercise conducted in 2011 analyzed the volunteer time provided by commission members and estimated their total input at around CHF 150m per year⁶⁶. However, commissions leveraging power is not visible because it remains untracked. It can therefore be considered that IUCN as a Union is able to provide good value for money when it comes to unrestricted funding

⁶⁴ IUCN. 2019. Annual Progress Report 2018

⁶⁵ IUCN. 2019. Annual Progress Report 2018

⁶⁶ IUCN 2016. Financial Plan 2017-2020

2.3.3. RESOURCES AND CAPACITIES TO MANAGE THE IUCN PROGRAMME AND ITS ASSOCIATED PORTFOLIO

IUCN Staff

IUCN Secretariat staff included 833 people in 2019. Between 2017 and 2019, the total number of staff decreased by 7,5%⁶⁷, as shown in Figure 13.

Figure 13: Number of IUCN Secretariat staff by organizational structure 2017-2019 (full-time equivalent)⁶⁸

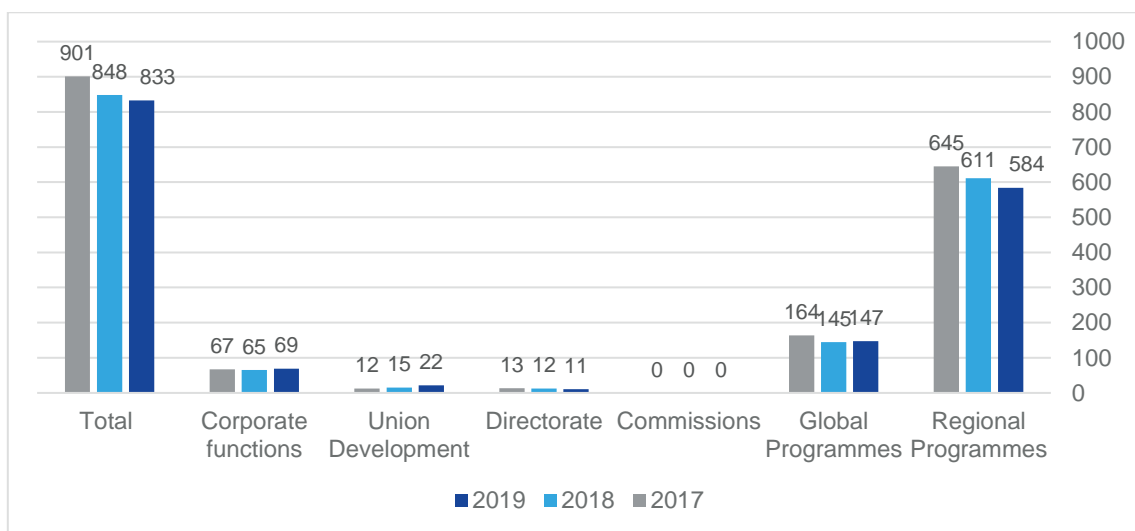


Figure 13 shows that Global Programmes staff decreased the most (-19%) between 2016 and 2018, followed by Regional Programmes staff (-14%) and Directorate (-13%). Union development staff increased by 15% and corporate function by 18%.

In the draft financial plan 2021-2024, an analysis of a breakdown of operational costs by organizational component for the 2020 budget shows that “53% of staff costs are incurred in the regions and outposted offices compared to 47% in Headquarters. Of the latter, 22% relates to programme staff and 25% to corporate. 40% of other costs are incurred by regional and outposted office compared to 60% incurred by HQ”⁶⁹. While the difference in number of staff is significant between the Regional and Global Programmes (as shown in Figure 13), the difference in costs incurred is rather small.

⁶⁷ IUCN. 2020. Annual Progress Report 2019

⁶⁸ IUCN. 2020. Annual Progress Report 2019

⁶⁹ HQ corporate costs cover: (i) Union support such as governance and membership services, (ii), Allocations to IUCN Commissions, (iii) Programme support costs such as planning, monitoring and evaluation; (iv) partnerships and relationship management; and corporate communications, (v) Directorate: the office of the Director General, oversight and the office of the legal advisor (vi) Services: finance, information systems, human resources, office services, and (vii) Risk-based provisions for foreign exchange and project losses. HQ corporate “Other” costs include Swiss costs plus global, non-Swiss costs that are paid centrally, such as centralized IT services and allocations to the IUCN Commissions.

IUCN Portfolio

Figure 14 below shows the portfolio distribution (in % of total projects and portfolio value) between global and regional units, based on the portfolio data shared with the Review team in January 2020. The headquarters manages the highest number of projects (225 projects, around 45%) and the biggest proportion of the portfolio budget (50%).

Figure 14 : Proportion of number of projects and portfolio value across IUCN Offices

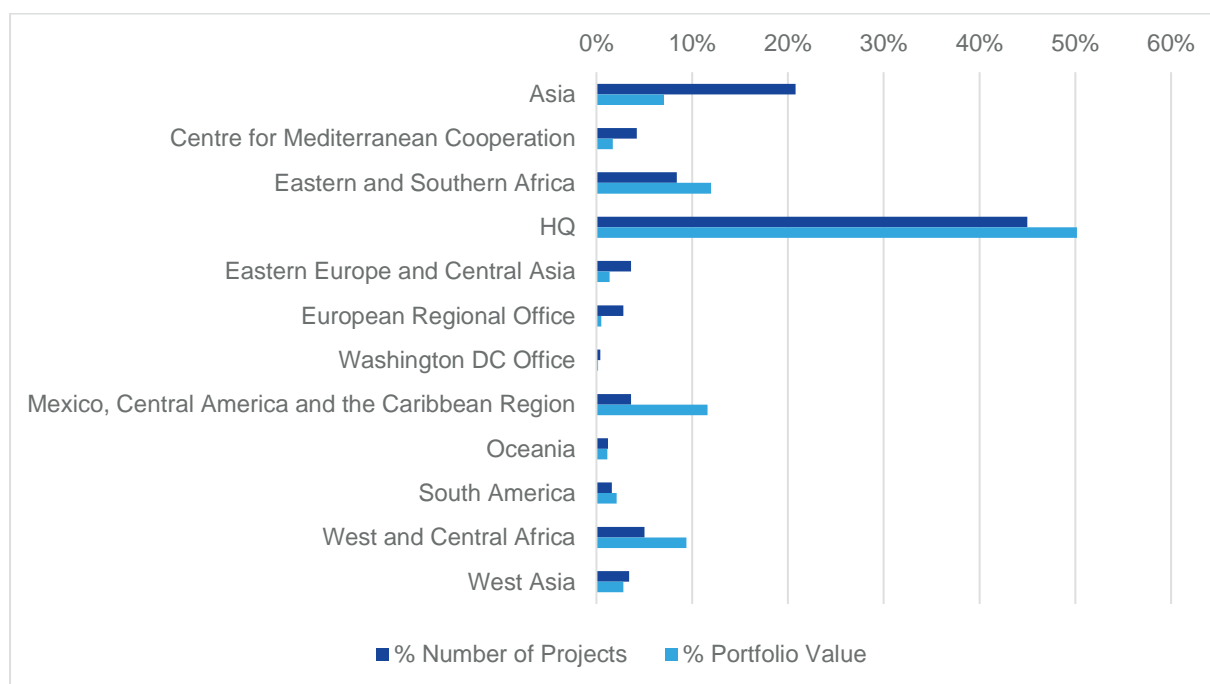
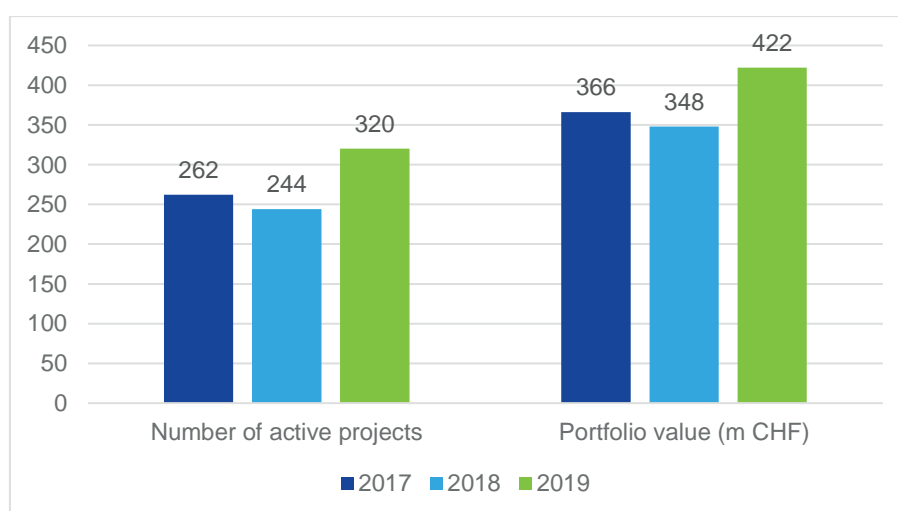


Figure 15 below compares the evolution of the number of projects with the portfolio value.

Figure 15: Number of active projects vs Portfolio value 2017-2019⁷⁰



⁷⁰ Based on data from the draft annual progress report 2019

Figure 15 shows that the number of active projects has decreased by 7% between 2017 and 2018 to then increase by 31% between 2018 and 2019. The portfolio value decreased slightly by 5% in 2018 to increase by 21% in 2019.

The fact that the portfolio keeps increasing (in project size and value) can be seen as a sign that IUCN track record is good, and that donors are satisfied with the level of efficiency of the organization.

Rationalization of business processes

In 2015, given the consistent decrease in unrestricted framework funding, IUCN senior management pushed towards an increased efficiency of the organization. Several interviewees mentioned that the overall efficiency of the organization has been improving since 2015 through the adoption of several standards, procedures, and tools.

The accreditation processes to the Global Environment Facility (GEF) and the Green Climate Fund (GCF) are considered to have helped the professionalization of the organization. IUCN overall management is perceived as more rigorous with these new procedures in place. However, interviews revealed that GEF or GCF projects sometimes tend to hinder the overall efficiency as they involve heavier processes, requiring more time for signing off and leading to an increase in overhead costs for instance.

In order to increase collaboration within the Secretariat and standardize programmatic and operational approaches - and *in fine* to improve delivery quality and enhance donor confidence - IUCN intended to strengthen linkages between headquarters and the regions through the development of a formal matrix structure, as represented in Figure 16.

Figure 16 : IUCN Matrix Structure⁷¹

	HQ	Asia	Africa	Europe	Oceania	Americas
Information systems						
Finance						
Human Resources						
Legal and Oversight						
Planning, Monitoring & Evaluation						
Communications						

This matrix structure was supposed to result in efficiency gains and reduced corporate costs as services would be managed on a global rather than a local basis. The operationalization of the matrix was first planned for Information systems, Finance, Human Resources, Legal & Oversight, Planning, Monitoring & Evaluation, and Communications, to then be extended to programmatic areas. Nevertheless, interviews revealed that while functional hierarchical links

⁷¹ Extracted from IUCN Financial Plan 2017-2020

are supposed to exist between support functions at the regional level towards HQ, these links are not effective in reality. The matrix structure is therefore not fully operational yet.

The rationalization process is not unanimously accepted across the Secretariat. Different stakeholders pointed out during interviews that the efforts made to streamline business processes actually decreased their team's efficiency. According to those, several support functions that were before at the program/project levels are now centralized at the global level. However, support staff at the project/program level were performing more tasks than what can be done at the central level. As a result of centralization, project/program staff now have more administrative tasks, which leaves them less time to perform the more strategic project and programmatic work linked to their function. In addition, the changes in the IUCN portfolio require a shift in staff competencies. Whereas IUCN staff traditionally has strong scientific qualifications, positioning the organization as an implementing agency (rather than an executing agency) requires strong competencies in project management and coordination, including human and financial resources management.

The implementation of new procedures through this rationalization process should help gain efficiency in the long term. However, the IUCN Secretariat is still in a transition process with a learning curve ahead. Close support and clear communication to explain organizational changes and show their long-term benefit to the staff are key to help them build ownership over these processes.

2.3.4. IUCN PERFORMANCE IN ITS DELIVERY MODELS

Type of delivery models and importance in the portfolio

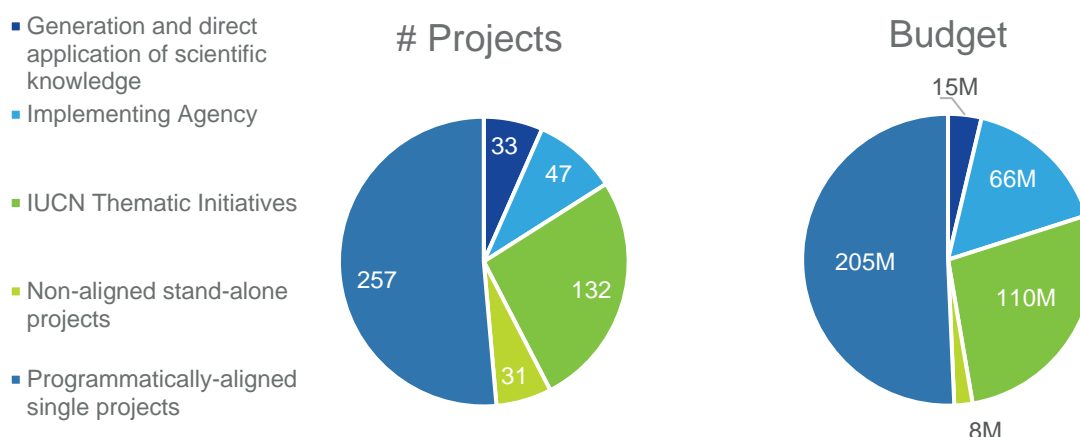
The portfolio data for the Programme 2017-2020 broke down IUCN delivery models in the following categories⁷²:

- IUCN thematic initiative,
- Implementing agency model,
- Programmatically aligned single projects,
- Generation and direct application of scientific knowledge, and
- Non-aligned stand-alone projects.

Figure 17 below shows that the majority of the portfolio (51% of projects and budget) is made up of programmatically aligned single projects. It is followed by thematic initiatives (26% of projects, and 27% of budget), implementing agency (9% of projects, 16% of budget), generation of scientific knowledge (7% of projects, 4% of budget), and non-aligned stand-alone projects (6% of projects, 2% of budget).

⁷² Delivery models are described in more details in the following document: MAGINNIS. 2017. Project delivery models

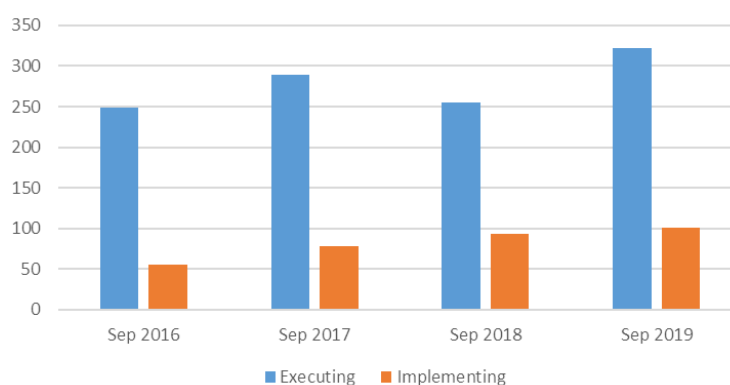
Figure 17: Portfolio distribution per delivery model (by number of projects and budget)⁷³



However, the Review showed that the nature of these categories was not always relevant (many initiatives include for instance a knowledge component), nor used in a systematic manner. These delivery models are going to be replaced in the 2021-2024 period by a simpler classification between implementing or executing agency. When IUCN acts as an implementing agency for the GEF and GCF, project management is undertaken by partner organisations and IUCN plays an oversight role. It can also include on-granting projects where the principal purpose is to fund other organizations. When an executing agency, IUCN takes on a direct project management and executing role on the ground.

When looking at these 2 categories (executing and implementing), Figure 18 shows a steady increase in the value of both the implementing and executing portfolio.

Figure 18: Portfolio evolution by delivery model (CHF million)⁷⁴



Implementing vs executing role

Interviews showed a diversity of opinions regarding the efficiency and satisfaction levels over IUCN delivery models and the evolution of the portfolio in this regard:

⁷³ Based on 2017-2020 portfolio data extracted for the review team in January 2020

⁷⁴ Extracted from IUCN. 2020. Draft Financial plan 2021-2024

- IUCN as an implementing agency delivering grants to project partners: this model is mostly considered as relevant since it is well-tailored to local needs and allows IUCN to select the best projects to achieve impacts at scale. Even though working through IUCN members is not a requirement, this model is fully in line with the One Programme approach and does not create competition with members, but rather funding opportunities. Many interviewees underlined the legitimacy of IUCN in playing such re-granting role. However, grant-making requires a specific set of skills and capacities that needs to be strengthened, building on lessons learned from past experiences. In addition, this model is also considered to bear risks as IUCN is held accountable for the execution and respect of standards by partners. It therefore requires a close monitoring of activities implemented by partners.
- IUCN as a GEF or GCF implementing agency: this model is fully in line with the “retail to wholesale” approach, and significant investments have been made by IUCN to get accredited to these funds. As mentioned above, the accreditation processes pushed IUCN to set up a number of standards and procedures that professionalized the organization. As required by the respective funds’ policies, IUCN gets an implementing agency fee of 9% for the GEF, and 7% for the GCF⁷⁵. Internally, these fees are used according the principles presented in Table 5.

Table 5 : Distribution of GEF and GCF fees⁷⁶

Fee distribution	Further fee appointment
GEF	
45% corporate/indirect support functions	= 38% for global corporate functions encompassing a part of IUCN management costs, finance and HR and GEF/GCF coordination unit + 7% for regional corporate costs
45% direct project oversight functions	= 35% to support a dedicated Regional Office Task Manager + 10% for expertise from relevant global thematic Division/s
10% for ‘upscaling’ (seed funding for new project development)	= 10% to the relevant Regional Office to seed fund further project development in the region
GCF	
40% corporate/indirect support functions	= 33% for global corporate functions encompassing a part of IUCN management costs, finance and HR and GEF/GCF coordination unit + 7% for regional corporate costs
50% direct project oversight functions	= 43% to support a dedicated Regional Office Task Manager + 7% for expertise from relevant global thematic Division/s
10% for ‘upscaling’ (seed funding for new project development)	= 10% to the relevant Regional Office to seed fund further project development in the region

At the portfolio level, an analysis conducted by the GEF/GCF unit showed that this model can be financially sustainable, especially as the portfolio of GEF/GCF projects is going to grow, increasing economies of scale and improving efficiency. However, at the project level and within regional and national offices, teams hardly see the benefits and consider that the fees received are not enough to cover their costs. As a result,

⁷⁵ For small projects (USD 10 and 50 million). Fees for micro projects is 8.5% (<10 million), and 5% for medium projects (USD 50-250 million). Source: GCF/B19/29, Feb 2018.

⁷⁶ As approved by the IUCN GEF/GCF strategy group on August 13, 2018.

some offices push to have more of an executing than an implementing role. Until the portfolio reaches a full size where economies of scale can happen, there is a lot of frustration given that the initial investment is high, while payback takes time, is not tangible at the project level and does not sustain the regional offices. In addition to those financial issues, IUCN's strategy regarding GEF and GCF needs to consider (i) the high competition to access the two multilateral funds; (ii) IUCN's specific niche within these funds ; and (iii) the fact that GEF/GCF-funded projects remain government-led projects, where IUCN does not have the full control on implementation decisions. As a consequence, while GEF/GCF projects can probably bring a lot to IUCN in terms of processes, procedures, positioning, volume of activities and impacts, IUCN portfolio of GEF/GCF projects should remain limited in size and should be considered as only one, albeit significant, source of funding among others. This is a critical aspect for IUCN to manage financial risk and sustainability, preserve its independence and credibility, and guarantee its continued ability to bring value in its core areas of work.

- IUCN as direct executing agency: IUCN members interviewed generally consider that IUCN should focus on its convening role, scientific knowledge generation and policy influencing activities rather than executing projects on the ground, which can bring some competition for resources. Members would like to see IUCN channel funds to its membership - rather than using funds for direct execution - and build on members expertise and experience. However, it is also frequently mentioned that situations exist where IUCN members on the ground do not have the capacity to ensure project execution. That is where IUCN can fill the gap as an executing agency. In addition, some interviewees consider that experience on the ground gives IUCN credibility to influence change at the regional and global levels and that executing projects for demonstration and learning by doing remain relevant for the organization. State members sometimes also consider IUCN as the best placed organization to execute national projects given the “neutrality” of the organization, versus more “lobby-oriented” environmental NGOs. Overall, project execution is considered by many as more financially viable than the implementing agency role (at least as compared to GEF/GCF project implementation). IUCN regional and national offices are heavily relying on these funds to cover their budgets.

In addition to these 2 main delivery models (implementing and executing), the IUCN portfolio includes two other types of activities, namely:

- Project development: project preparation activities, publications, knowledge products, etc. These activities provide a structure to support project implementation and execution, and
- Services agreements: IUCN provides services (workshops, study, etc.) in the same way as a consulting firm. These service agreements are an unrestricted income source but there is a need to keep a close eye on their level of profitability and strategic interest for the programme as a whole and for IUCN membership.

2.3.5. RISK MANAGEMENT

Corporate level

Before 2018, IUCN risk management approach was informal and mostly looking at financial risks. In 2018, the 94th meeting of the council approved the Risk appetite statement and the Enterprise risk management (ERM) policy. The Risk appetite statement expresses the type and amount of risk that IUCN is prepared to take. It is reviewed yearly by the Council, depending on the evolution of the different risks. A risk management committee was also established at the corporate level to monitor IUCN risks and challenges, and support risk owners. It meets biannually and is responsible for revising the risk matrix at the corporate level every 2 years, before Council meetings.

The ERM is described as an “oversight tool to enhance capturing of strategic, financial, operational, compliance, reputational and external risks surrounding the business environment”⁷⁷. The ERM is applicable to all IUCN staff, but covers mostly headquarters and regional offices. It focuses on the organization itself and does not cover project risk management. The ERM includes an excel tool (the IUCN corporate risk register) that rates the different risk categories of the organization, namely: strategic (goals of IUCN), Financial (safeguarding assets), Operational (processes to achieve goals), Compliance (laws and regulation), Reputational (public image), and External. Some interviewees recommend that the Secretariat invest in a full risk software to allow for a better cross cutting analysis, while others feel that putting too much emphasis on setting up a heavy ERM system can result in large investments in a system that ends up being under-utilised, and that risk management is more about developing a risk awareness culture. Each business unit and regional office are required to establish their own risk matrix. Support was provided for this process from the risk and accountability officer from headquarters. Regional offices and business units report quarterly to the Planning, monitoring and evaluation and risk unit in HQ through their ERM report.

The current ERM does not include an assessment of the risks caused by the different IUCN delivery models. However, several interviewees consider that the shift to an implementing and grant-making agency role increases exposure to risk. According to many of them, playing the role of implementing agency includes high risks as IUCN is held accountable for the compliance of the executing partners with environmental and social standards, which can carry a high reputational risk. A robust system of check and balances is therefore required to mitigate that risk.

Another risk considered high by some stakeholders interviewed is the ethical and conflict of interest risk. Some consider that the disclosure of conflict of interest throughout the whole organization should be more transparent and better managed as this also carries a high reputational risk for the organization.

A risk management system is therefore in place at the corporate level but is relatively new and its implementation is not at full speed yet. Managing risks is still considered as crisis management rather than an iterative assessment that should guide decision making. In this

⁷⁷ IUCN. 2018. Policy on ERM. Annex 2 to Decision C/94/4

sense, risk management remain reactive and not proactive. One example of the limited integration of a risk culture within the organization is that the draft 2021-2024 Programme is not based on nor does it include a risk assessment, and the risk and accountability officer was not included in its development. Experiences from other organizations have shown that the implementation of ERM can take up to 5 years to become fully integrated and robust as introducing a risk management culture takes time. In addition, some people consider that ERM should be integrated within an overall GRC framework (Governance, Risk Management & Compliance), to avoid viewing risk management in isolation of corporate governance and compliance.

Project level

The Environment and Social Management System (ESMS) was introduced following IUCN's accreditation to the GEF and GCF. This system includes an analysis of environmental and social risks at the project level. Since June 2016, an ESMS screening is mandatory for all IUCN projects⁷⁸. Tools and guidance associated with these procedures are still being developed and evolving to ensure appropriate use. As of 2019, a total of 110 projects had undergone an ESMS screening⁷⁹. However, human resources are stretched since there is only one person in HQ to oversee all the ESMS screenings.

Outside of environmental and social risks, the sample of projects analyzed for the Review showed inconsistencies in terms of risk management. Some projects did not mention risks in their design documents nor presented a proper risks management system. Some did present a risk management system but of poor quality (few risks identified, and mitigation actions not fully developed), and others had a risk management system of satisfactory quality with appropriate mitigation measures. In addition, implementation of the risk management system established within a project document can be a challenge, as it highly depends on resources allocated to monitoring and reporting on the risks identified.

Conclusion to Question 3: Has the IUCN Programme been efficient with regards to its objectives?

Overall, the IUCN Programme can be considered efficient, although financial reporting could be starkly improved by aligning it to result achievement. The high leveraging ratio generated by unrestricted funding, coupled with the contributions made by IUCN's Commissions, provide an indication of the good value for money that unrestricted funding provides. That being said, IUCN could clearly benefit from a more robust resource mobilization strategy tailored to Programme objectives.

The decrease in unrestricted funding has led to tighter human resource allocation within IUCN with the downside of reduced flexibility. Although the rationalization process that accompanied the shift from "retail to wholesale" is still ongoing, requires improvements, and has not yet reached unanimity, this model has already provided some efficiency gains with respect to portfolio management.

⁷⁸ IUCN.2018. Annual Progress Report 2017

⁷⁹ IUCN. ESMS Summary report 2019.

Regarding IUCN delivery models – implementing/grant-making or executing agency – the implementation of GEF or GCF projects has not gained full approval to date given the high upfront investments, which shows that on-the-ground implementation/execution of projects that bring full value to IUCN core competencies, and to its members, remains relevant.

2.4. IMPACT

Q4. Does the IUCN Programme generate significant and lasting impacts?

2.4.1. SYSTEM IN PLACE TO MEASURE PROGRESS TOWARDS INTENDED IMPACTS

For each Programme Area, 4 or 5 global impact indicators are indicated in the Programme, totaling 14 impact indicators. These indicators were based on the official draft indicators under development by the UN Statistical Commission for measurement of the SDGs⁸⁰. However, the Review team could not find evidence that these impact indicators were being tracked. They are for instance not included in the monitoring framework presented in annex of the annual progress reports, nor are they included in the project portal. The lack of impact monitoring was widely confirmed in interviews. This finding echoes the monitoring and evaluation section above, as well as a recommendation from the 2019 Governance review: “building on the efforts which are already being undertaken by the Secretariat, we would recommend further professionalizing and systematizing monitoring and evaluation of IUCN operations, in order to credibly and systematically report and demonstrate impact, according to key indicators, at the Council level.” The same document also highlights that “Monitoring impact is essential to oversight, which is an essential Council role. This could be significantly deepened and improved by proactively requesting that specific Key Performance Indicators (KPIs) be designed into the information architecture, for example.”⁸¹ Impact monitoring is therefore currently lacking and should be improved.

At the project level, the documentation review showed different level and quality of impact monitoring but overall, impacts seem to be better tracked at project than at Programme level.

2.4.2. EXAMPLES OF IUCN IMPACT AREAS

A few of these examples that the Review team came across are listed below for illustration purpose while not intending to be exhaustive:

- Convening role. the convening power of IUCN is in itself a key accomplishment. IUCN is indeed able to convey a wide variety of stakeholders across the world, given the variety of its membership, which is key when trying to have impacts at the global level. Interviews revealed a great appreciation by some IUCN members of the fact that IUCN was giving them a voice at the international level. This convening role is considered as part of the niche of IUCN and what makes the organization unique.
- Rolling out new concepts. IUCN has been at the forefront of the development of new concepts for the conservation community, which can be illustrated through the Nature-based solutions (NBS) concept that promotes the use of nature for simultaneous benefits to biodiversity and human well-being. According to resolution WCC-2016-Res-

⁸⁰ IUCN Programme 2017-2020

⁸¹ SGA. 2019. External review of aspects of IUCN's governance

069-EN adopted in the 2016 World Conservation Congress (WCC), NBS are: “*actions to protect, sustainably manage and restore natural or modified ecosystems that address societal challenges effectively and adaptively, simultaneously providing human well-being and biodiversity benefits*”. The NBS concept is now widely recognized and has been taken up by the conservation community worldwide. A Global Standard for the design and verification of NBS is supposed to be launched at the WCC in Marseille in January 2021.

- Development of tools and standards. IUCN is recognized for its commitment towards the development of a diversity of tools and global standards that are widely used across the conservation community, such as: the RedList for Threatened Species, the RedList of Ecosystems, the Green List of Protected and Conserved Areas, Protected Planet, the Bonn Challenge Barometer, among others. IUCN is also involved for instance in the Integrated Biodiversity Assessment Tool (IBAT), in partnership with other organizations.
- Change in practices. IUCN plays a role in natural resources governance. For instance, the report “A landscape for everyone” claims that “the application of a framework like IUCN’s Natural Resource Governance Framework helps to integrate rights into organizational structures”, and that “the integration of rights-based and landscape scale approaches to conservation and sustainable natural resource management leads to better landscape governance⁸²”.
In terms of protected and conservation areas, interviews revealed converging opinions towards the fact that IUCN had an impact on conservation practices on the ground. The annual report 2018 stresses on that matter that “*IUCN works to develop best practices and approaches that enable effective conservation and help sites achieve high standards, while also informing professional capacity development and influencing national and global policy*”⁸³.
IUCN is also able to influence some business practices through its dedicated business and biodiversity program. For instance, the annual report 2018 highlights that IUCN worked with the energy company Enel to assess risks associated with the company’s energy infrastructures and mitigation measures. The assessment will be used to improve Enel’s procedures and practices. IUCN also supported Tata Steel to implement a new biodiversity strategy at a corporate and State level.
- Influence on policy and governance processes. IUCN has an impact on policy processes at the global level. According the overview on the impact of IUCN Resolutions⁸⁴ “*IUCN’s Members have issued over 1300 Resolutions since the organization’s founding in 1948. These have been the Union’s most effective means of influencing conservation policy, at species, site, national and global levels. They have helped set the international conservation agenda, for example through supporting the preparation of the World Conservation Strategy and contributing to environmental treaties such as CITES, Ramsar, World Heritage and the Convention on Biological*

⁸² IUCN. 2019. A landscape for everyone

⁸³ IUCN. Annual Report 2018

⁸⁴ IUCN. 2018. The Impact of IUCN Resolutions on conservation efforts

Diversity. Through its Resolutions, IUCN has been a steadfast supporter of Indigenous peoples, gender issues and the recognition of conservation as part of human rights". Interviews conducted in the regions revealed that IUCN also contributed to impacts at the national level, for instance by encouraging the commitments that governments made on land restoration through the Bonn challenge.

Even though no systems are in place to effectively track and measure IUCN impacts, these different examples show that IUCN does generate soft impacts at various levels.

2.4.3. POTENTIAL AREAS FOR IMPROVEMENT

The 2019 IUCN Governance Review states that "*there is a council perception that IUCN has been having a high level of impact in achieving its mission*"⁸⁵. Nevertheless, several areas for improvement were identified during the Review process to strengthen IUCN's overall impact:

- One Programme Approach. Strengthening the implementation of the One Programme Approach across the Union has the potential to increase IUCN impact. This would be done through recognizing better the work of Commissions and IUCN members while focusing the work of the Secretariat on stock-taking, lessons learning, and Union support. A strong engagement from all the Union's constituencies is key to enhance impact.
- Communication and visibility are a potential area for improvement to strengthen IUCN impact. The analysis shows that IUCN could be communicating better on its contribution and achievements. The visibility of IUCN is low, and the organization is underrecognized for what it does. The fact that the mandate of IUCN global communication unit focuses solely on corporate communication, and not on general external communication on what IUCN does, corroborates this point.
- Policy. IUCN could have greater impacts in terms of policy influencing, at the global, regional or national levels. This would help ensure the uptake of the knowledge products generated by the Union. For instance, an interviewee mentioned being satisfied with IUCN's overall achievement while also expressing some doubts on IUCN's ability to accompany the uptake of its recommendations by other institutions such as international financing institutions. At the regional level, ramping up efforts to influence policy is extremely relevant, for instance at the level of European Union or African Union. At the national level growing expectations from IUCN to act at the policy level have been noted, for instance to inform the development of biodiversity strategies, or mainstreaming gender issues in environmental planning.
- Private sector. Engagement with the private sector is an area to explore further to enhance impacts. Changing business practices has a huge impact potential that is considered not yet fully tapped neither at the global nor national level. Indeed, an

⁸⁵ SGA. 2019. *External review of aspects of IUCN's governance*

analysis of the IUCN portfolio 2017-2020 showed that only 55 projects (11% of projects, 14% of portfolio budget) engage with businesses⁸⁶.

- **Innovation.** The Review found that IUCN should dedicate sufficient effort to innovation in order to remain relevant in a fast-changing world. Although IUCN can be at the forefront regarding the introduction of new concept and approaches for the conservation community, the organization can be slow to adapt to change. The slow uptake of the NBS concept internally at IUCN can be seen as an illustration of this perceived inertia to change. Given the international context and the need to keep innovating to not be left behind, a unit could for instance be dedicated to innovation. Currently, there is limited space to innovate as the staff is stretched and has to focus on their day to day activities. A small dedicated unit would be able to take a step back and think strategically to monitor and map out cutting-edge issues of interest for IUCN.
- **Restructuring the organization.** IUCN is currently in a transition period during which it is fundamental - even more than before given unrestricted framework funding restrictions - to focus on its niche and where the organization adds values, in order to remain relevant. This transition process may in the end require a restructuring of the organization itself, which might imply a downsizing of its Secretariat, and/or a decentralisation process from HQ to the regions. Such restructuring process may be a way to achieve greater impacts.

The above illustrate some of the avenues with which the Review team concurs that could be further explored to help IUCN enhance its overall impact.

Conclusion to Question 4: Does the IUCN Programme generate significant and lasting impacts?

IUCN can demonstrate some impacts, notably in its convening role, in rolling out new concepts, in developing tools and standards, in its capacity to change practices and in influencing policies. However, so far, reporting on impacts is ad-hoc in the absence of a structured impact monitoring and reporting system. Several potential areas for improvement were identified to strengthen the overall impact of the organization.

⁸⁶ Analysis based on portfolio data extracted from the project portal and provided to the Review team

2.5. SUSTAINABILITY

Q5. How sustainable are the IUCN Programme interventions?

2.5.1. SUSTAINABILITY STRATEGY

At the project level, according to the IUCN project guidelines (module 3), “*Sustainability refers to the extent to which the positive results of the project intervention will persist once the project implementation (and funding ends) and considers four main aspects: capacity, finance, policy mandate and institutions*”⁸⁷. According to these guidelines, IUCN project proposals should include a plan for sustainability and an exit strategy. Although the project documentation review conducted could not confirm that all projects reviewed included such strategy, there are several examples where IUCN’s intervention has created enabling conditions for sustainability, as illustrated through the examples below. It should nonetheless be kept in mind that these examples are illustrative and should not be considered as exhaustive, nor representative of the whole IUCN portfolio.

At the level of the global IUCN Programme 2017-2020, there is no explicit sustainability or exit strategy. Nevertheless, the principles IUCN uses in its work, as described below, can contribute to sustainability of results achieved.

Engaging national and local stakeholders is contributing to sustainability. Through its broad membership base, IUCN is able to intervene through national and local stakeholders that can (i) ensure that IUCN intervention is relevant to local needs, and (ii) sustain efforts once a given project ends. IUCN works through a variety of partners including governments, NGOs, and Indigenous People (IP) organizations, etc. IUCN generally has to go through national governments before starting an intervention locally, which is considered by most people interviewed as highly beneficial in terms of ownership and sustainability. Collaboration with national institutions proved particularly relevant when it comes to the uptake of new methodologies piloted through a project. For instance, the strong institutional collaboration in the *REDD+ through Landscape-Scale Sustainable Commodity Production Models* (P02693) can be seen as an enabling condition for the uptake of the tools and methodologies demonstrated through the project. According to several interviewees, when selecting partners at the design stage, IUCN considers their capacity to take up actions after the end of an intervention. Sub-granting programmes in particular, such as the *Integrated Tiger Habitat Conservation Programme (ITHCP)*, Life4Best or SOS African wildlife, closely examine the applicant’s exit strategy, as well as the likelihood of project sustainability and potential for replication. Several examples of continuation of activities were mentioned during interviews. For instance, an IP organization in the ORMACC region mentioned that IUCN promoted the management of natural resources and conservation processes at the territorial level, working closely with local communities and IP organizations, which continued carrying out the activities after the IUCN project ended. The Mid-term review of the ITHCP highlights the importance of involving NGOs from national origin or led by nationals themselves, since working through home-grown NGOs and research institutes representing national and local views is key for

⁸⁷ IUCN. 2016. IUCN Project Guidelines and Standards – Module 3: Project Development (version 2.2)

sustainability. IUCN intervention through national partners is therefore contributing to overall sustainability.

Generating and disseminating knowledge products, standards and tools creates a “legacy” that can last after the initiative that generated and communicated the knowledge. At the global level, IUCN’s flagship knowledge products have proved to be long-lasting and used throughout the world. The RLTS for instance - to name only one - was first established in 1964 and is still a key information source on the state of biodiversity worldwide. At the project/program level, multiple initiatives include the generation of knowledge products, methodologies, standards and tools, which can contribute to overall sustainability. For instance, the documentation review conducted showed that the exit strategy for the project *Strengthening Community Engagement in Combatting Illegal Wildlife Trade (IWT)* in Kenya focuses its exit strategy on developing and disseminating practical guidance on how to implement the First Line of Defense (FLoD) principle that can be used by policy makers and practitioners in Kenya and internationally. The guidance material produced is freely available for all to download and use to train trainers as and where required. The FLoD approach has since then been adopted by USAID in their new programme to combat IWT in southern Africa, and several organizations such as WWF have expressed interest in adopting FLoD in their interventions. This is a clear example of enabling conditions for sustainability. Another example can be taken from the project *Strengthening Legal Mechanisms to Combat Illicit Wildlife Trade* which resulted in the creation of the WILDLEX platform, a free online database on wildlife related law that includes legal resources and training material to reinforce national judicial processes. According to the project documentation, “*between January and July 2017, it was accessed over 360 times in Tanzania, and over 1000 times throughout the world, by over 730 unique users*”. These results are encouraging regarding the sustainability of project’s results. Funding has also been secured for a second phase of the project. The generation, dissemination and uptake of knowledge is therefore a factor of sustainability for IUCN’s activities.

Influencing and informing policy can result in lasting changes. Policy work is part of IUCN interventions at all levels. IUCN is active and well represented in policy processes on conservation at the global level. The publication of IUCN resolutions on international conservation effort, as mentioned in the Impact section above, shows the extent to which IUCN can influence these processes. IUCN’s influence on international conservation frameworks is not only impactful but also highly sustainable as such frameworks are the long-lasting reference for conservation policy. For instance, the IUCN gender programme worked with the Rio Conventions to create gender action plans, which therefore integrate gender consideration sustainably in the framework of the conventions. It has also worked with several countries on preparing National climate change gender actions plans (ccGAPs)⁸⁸. Policy work is also undertaken by IUCN at the regional and national levels. Being able to integrate project results, concepts, approaches or methods into policy frameworks can contribute to their up-scaling, replication and overall sustainability. It is also likely to lead to changes in practices on the ground when policies are implemented. An interviewee mentioned for instance the long-term changes that IUCN’s work was able to instill into protected area management practices. As for the GCF project on livelihood resilience in Guatemala, it aims to include Ecosystem-based

⁸⁸ <https://genderandenvironment.org/redefining-what-results-look-like/>

Adaptation (EbA) in the 30-year incentive programme of the national forest institution (INAB), which should ensure the uptake and replication of the approach in the long term. These examples show that IUCN policy work contribute to the sustainability of its actions at different levels.

Long term presence is a key factor for sustainability. Being able to sustain long-term interventions with the same partners in the same areas is seen as a key enabling condition for sustainability. While some interviewees considered that IUCN was able to ensure this long-term presence through its local structures and members, other found that projects were too short term to generate any sustainable impacts. Strategic planning at the local level to define when to intervene, where and for how long is therefore key to ensure sustainability of results on the ground.

Capacity building contributes to sustainability. Multiple successful examples of capacity building enabling sustainability emerged from interviews and the documentation review. Capacity building is part of many IUCN initiatives, at different levels. Several interventions focus on institutional capacity building at the regional or national levels. For instance, CONNECT aims at strengthening the institutional, technical and regulatory capacities of the East African Community (EAC) members to increase their leadership and political will to address a wider range of transboundary natural resources management priorities. For the *Enhancing coastal and marine socio-ecological resilience and biodiversity conservation in the Western Indian Ocean* project, institutional capacity building and regulatory strengthening at the national and local levels are a key objective to strengthen the policy framework for locally managed coastal, island and marine conservation areas in the long term.

Capacity building is also carried out at the NGO, organizational or community levels. In particular, several examples emerged from the Review regarding IP organizations. For instance, the purpose of the project *Fortalecimiento de los derechos de pueblos indígenas y afrodescendientes en Centroamérica* (P03121) was to build human and institutional capacity for advocacy for indigenous rights, and political visibility. Those are foundations of sustainability regarding these issues. It was also the case for the *Extractive industries and Indigenous Territories in Central America: Supporting indigenous advocacy agendas* (P02682) project. The *Conservation of the Laguna de Lachuá National Park and Development of its Area of Influence* project was brought up in interviews as a success story in terms of community capacity building and long-term sustainability. One of the activities carried out by FundaLachua through the project was sustainable management and commercialization of cocoa, and its marketing to international markets such as the European Union (EU). The income derived from this economic activity allowed the foundation FundaLachua to continue to sustain itself, and to continue to generate economic benefits for its members. Although the project ended several years ago, FundaLachua continues to be a strong organization with a presence in the area.

IUCN sub-granting programmes also contribute to building the capacities of sub-grantee organizations in terms of overall project and financial management.

While it is difficult to assess the likelihood of sustainability of capacities built by IUCN at different levels in the framework of this review, several stakeholders expressed satisfaction about the support provided in that regard. A few others mentioned that IUCN could still do better in terms of building sustainable capacities.

Overall, the way IUCN operates can create the enabling conditions for the sustainability of the results of its interventions, but this would benefit from being systematized as part of a results sustainability strategy within the Programme. Learning is also a key aspect of sustainability that could be improved within IUCN, as reflected throughout this Review. This requires a substantial effort to improve amongst other the overall M&E system, project monitoring, and ownership of policies and procedures by staff members. This type of investment would allow for constant learning and improvement, and therefore contribute to the overall sustainability of IUCN interventions.

2.5.2. MOBILIZING FUNDING TO SUSTAIN CONSERVATION OUTCOMES

The ability of project/programmes from the IUCN portfolio to mobilize funding post- project to ensure the continuity of the intervention's results, and therefore long-term financial sustainability, is not captured nor tracked in the current reporting system. An overall assessment of the portfolio is therefore not possible.

Nevertheless, the Review team identified a few examples from the documentation review where projects/programs intended to secure funding and/or ensure financial sustainability of activities after project exit:

- The *SADC Transfrontier Conservation areas Financing Facility* aims to leverage additional funds from various partners in order to reach an operational funding volume of approximately EUR 100 million in the medium to long term.
- CONNECT plans to produce project concept notes to address priority needs to help support the implementation of the EAC Anti-poaching Strategy and other priority actions to strengthen the conservation and management of transboundary natural resources. These concept notes will be presented to donors and development partners to mobilize resources.
- The Life4Best project is expected to contribute to preparing the ground for a sustainable funding mechanism for biodiversity action in the EU's Outermost Regions and Overseas Countries and Territories by providing further evidence of the need and demand for such a sustainable financing mechanism. The project aims to show that significant results can be achieved in these territories with small grants and thus demonstrate that these investments represent good value for money for the EU.
- The SOS African Wildlife Programme has a strong fundraising objective and has succeeded in leveraging funding from a wide range of public and private donors.
- Through the BRIDGE programme, IUCN deployed significant effort to secure additional funding in the river basins of intervention. As a result, several project proposals (including GEF PIFs and concept notes for other donors) were developed in continuity with the programme in the Horn of Africa, Mesoamerica and Asia.

While it is not possible to assess the ability of the entire IUCN portfolio to leverage additional funding to ensure the long-term financial sustainability of its intervention, these few examples show that IUCN can have an explicit strategy to secure such funding for its interventions.

2.5.3. FINANCIAL SUSTAINABILITY AT THE GLOBAL PROGRAMME LEVEL

Concerns were raised during the Review regarding the steady decrease in unrestricted framework funding and the need to find a new funding model. For instance, knowledge products such as the RLTS are a key IUCN achievement in terms of both impact and sustainability. However, some consider that financing to maintain such knowledge products to keep up with the demand is not secured in the long term, which is a risk for the overall sustainability of the IUCN Programme. According to a key informant for the review, the current funding available for knowledge covers only 50% of what needs to be done to maintain this knowledge. The need to find a new business and funding model therefore appears as an important area to consider in order to ensure overall sustainability.

While it is beyond the scope of this Review to provide an exhaustive review and strategic analysis to enact the transformation of IUCN's funding model, different examples were identified as potential avenues for transforming the funding model, to be explored as part of a potential IUCN future study dedicated to this subject. For instance, the Integrated Biodiversity Assessment Tool (IBAT) is free for non-private sector stakeholders, but the private sector must pay a fee to access it. This operating mode is providing good results according to an interviewee and could be replicated to other tools. Engagement with the private sector is also a key emerging area since having better practices is becoming a business imperative. It is foreseen that businesses will require help to adapt and change their practices, which is an area where IUCN could have an added value given the broad knowledge base of the organization. The green list of protected and conserved areas is also exploring new funding models in which partnership and investments (private banks, social impact investments, etc.) would be blended. Such discussion could also be taken up at the Global level.

The high dependency on restricted project funding for the IUCN Programme could jeopardize its sustainability and therefore calls for rethinking the funding model of the organization, as suggested in the recommendation on resource mobilization. This new funding model would have to consider how to secure funding for IUCN non project-funded activities.

Conclusion to Question 5: How sustainable are the IUCN Programme interventions?

The IUCN Programme interventions can create some enabling conditions for sustainability, which would benefit from being systematized as part of a results sustainability strategy at the Programme level. Further investment in learning, as well as rethinking the funding model of the organization as a whole, would also strengthen overall sustainability of the Programme and its operations.

2.6. GENDER RESPONSIVENESS AND SOCIAL INCLUSION

Q6. To what extent has the IUCN Programme design and implementation been responsive to gender and social inclusion?

2.6.1. GENDER RESPONSIVENESS OF THE IUCN PROGRAMME

IUCN Programme's objective in terms of gender responsiveness

Gender responsiveness does not appear as a high-level explicit goal in the IUCN Programme document 2017-2020. In the results framework it is at most implicitly implied at the levels of objective, result and not even mentioned at sub-result level. It is only specifically mentioned in weak text in three out of 30 targets⁸⁹, which is probably the result of the cross-cutting approach taken by the Programme on those aspects. In that respect, the Programme refers to the ESMS finalized in 2016, specifying that “The ESMS is guided by eight overarching principles and four standards that reflect key environmental and social areas and issues that are at the heart of IUCN’s conservation approach; among others they include IUCN’s commitment to assuring a rights-based approach, gender equality and empowerment of women, and the respect and fulfilment of the rights of indigenous peoples.”

In the draft 2021-24 Programme document, Gender and IP concerns are prominent in the problem analysis/priority programmes as well as in key impacts, and both are included in program area 2 on governance as 1 out of 10 good principles. Therefore, a move towards better integration and consideration of gender and IP issues is underway.

Achievement of gender responsiveness and social inclusion objectives

According to the annual progress report 2018⁹⁰, Target 5 on IUCN knowledge, including gender-specific knowledge, is said to be fully achieved by 2018. The achievement was measured in number of downloads of documentation on the value and conservation of nature and number of scientific papers published by IUCN. However, there is no reference to a qualitative assessment of how gender specific knowledge was provided, nor which effect it may have had on those being communicated to with the purpose to “influence key global, regional and local decisions and actions”. Targets 16 and 17 are also said to be fully achieved

⁸⁹ Target 5: “IUCN knowledge, including gender-specific knowledge as appropriate, on the value and conservation of nature is generated and communicated to influence key global, regional and local decisions and actions”); Target 16: Intervention points in which rights regimes related to natural resources are clear, stable, implementable, enforceable and equitable have increased and are effectively integrated with other rights regimes – particularly for women, indigenous people, youth and the poor ; Target 17 : The capacity of institutions (including protected area and customary institutions) to undertake decision making in a participatory, inclusive, effective and equitable manner is enhanced, especially for facilitating the active participation of women, youth and indigenous peoples as key stakeholders

⁹⁰ 96th Meeting of the IUCN Council, Gland (CH), 28-31 March 2019. 47th Meeting of the Programme and Policy Committee (PPC), Agenda Item PPC47/1, IUCN Annual Progress Report 2018

by 2018, but again a qualitative assessment of gender and social inclusion aspects is missing in the two indicators used.

The same annual progress report 2018 shows Council's enhanced attention "*towards a gender-responsive portfolio of projects.*" The progress report also highlights an important case description on mainstreaming gender in the BRIDGE⁹¹ river basin management programme (Impact award winner, Gender category). The review of literature reveals that consideration of gender and IP aspects in project implementation is rather mixed from one project to another. It is generally rather strong in ORMACC projects, where several success stories illustrate both IPs inclusion and gender responsiveness. It appears more mixed in global and ESARO projects.

Nevertheless, the high level approval of the Gender Policy by the Council in October 2018, with specific reference to appointing the oversight responsibility to the Director General, sends a strong signal to all involved staff, partners and stakeholders to be proactive, gender responsive, and rights-based in their programming.

Level of implementation of the IUCN Gender Equality and Women's Empowerment Policy

The Gender Policy includes gender equality and women's empowerment as fundamental components to the IUCN Programme, including knowledge products and standard setting and, especially through strategic planning processes, resource allocation and budgeting, developing and applying indicators and targets, monitoring and evaluating results, and communicating priorities and results, across themes. It aims to ensure that IUCN's Programme and project planning and approval systems systematically and comprehensively screen for gender gaps. It also specifies that collecting, analysing and applying sex-disaggregated data and using gender indicators to inform gender-responsive monitoring, evaluation, reporting and learning on IUCN programmatic activities is crucial, as well as to mainstream gender into the IUCN Evaluation System and account for the outcomes of such measures, at strategic, programme and project level.

It is worth noting that the Gender Policy was approved after the 2017-2020 Programme was designed, so it did not influence directly the current Programme. As mentioned above, the Programme document does not refer very strongly to gender objectives, nor does it provide a clear framework to ensure gender aspects are systematically included and reported on at project/program level. Such framework is however proposed in the IUCN Project Guidelines and Standards document⁹², which purpose is, among other things, to ensure that "Projects comply with Environmental and Social Safeguards in order to minimize negative environmental and social impacts; and Gender is mainstreamed into all field operations".

In global projects reviewed, it is however often difficult to assess how far gender responsiveness and social inclusion were considered during implementation of granted projects, since the usually scarce existence of gender disaggregated indicators and specific evaluation criteria prevent proper monitoring.

⁹¹ BRIDGE - Building River Dialogue and Governance in the Ganges-Brahmaputra-Meghna

⁹² IUCN Project Guidelines and Standards Module 1 Introduction to the Project Guidelines and Standards. Version 2.2 – 2016

While IUCN work and innovating positioning on these issues is recognised, there is little evidence of a systematic gender screening of projects and programmes developed to date, ensuring gender aspects are actually considered, including in the results frameworks and indicators, and actually monitored and reported on. The fact that gender officers are being hired in regional offices is nonetheless likely to boost gender mainstreaming at the project level.

2.6.2. GENDER EQUALITY AND SOCIAL INCLUSION IN POLICY INFLUENCING

As per the Programme document, IUCN aims to influence key environmental governance mechanisms including the three Rio conventions, and claims to be at the centre of the changes of recognition of linkages between human rights, gender and climate change. According to interviews, a good example hereof is the technical support provided to the United Nations Framework Convention on Climate Change (UNFCCC) in developing its first Gender Action Plan. IUCN also continued to support governments and their stakeholders to implement gender-responsive commitments, enabling both women and men to act on climate change, through the development of National Climate Change Gender Action Plans (ccGAPs). This is an important result towards which IUCN has surely played an important role. Another interesting example is the publication “Women as change-makers in the governance of shared waters”, which draws attention to the issue of gender equality in transboundary water governance and demonstrate that positive change is happening on the ground⁹³.

However, apart from these examples and a few cases in the annual reporting, the documentation reviewed provides little evidence or examples of mainstreaming of gender equality and social inclusion in policy influencing activities. With funding becoming more and more projectized at IUCN, getting support for cross-cutting activities, such as the generation of knowledge, which can have strong influence on policies, is difficult.

The Programme document cites that the previous review (of 2015) underlined IUCN’s unique ability to convene government and civil society members, as well as experts, IP groups and other partners, in pursuit of conservation and sustainable development objectives. This convening role is underpinned and according to the document legitimised by IUCN’s evidence-based scientific work.

Interviews suggest however that engaging with local communities and IPs has sometimes remained rather limited and that efforts should be done in this regard. In many cases, it would consist more in “just ticking boxes” in a superficial way, whereas things should be more integrated. On the other hand, examples exist of positively perceived work conducted in this regard. It is the case in the Central America region where ORMACC has strengthened IP’s governance and capacities (protocols for Free, Prior and Informed Consent, for example), working closely with the Governance & Rights Program, and several projects are being implemented with IP organizations in that region, where IUCN is sometimes perceived as a leader on these issues.

⁹³ <https://www.iucn.org/news/water/201808/new-publication-women-change-makers-governance-shared-waters>

Although the IUCN Standard on Indigenous Peoples⁹⁴ recognizes that “many indigenous and traditional peoples inhabit a significant part of the Earth’s most biodiverse regions, cultivate strong economic, cultural and spiritual relations with their natural environment on which their livelihood systems depend, have developed and often maintain traditional ecosystem management practices that contribute to biodiversity conservation, and are holders of unique knowledge systems valuable for biodiversity conservation”, IUCN is still mainly focused on avoiding or mitigating negative impact on IPs.

According to the 2018 annual report, IUCN addressed the Review 2015 recommendation to create an Indigenous Peoples’ Organizations (IPO) membership category as 17 IPO are now members of IUCN. During a dedicated meeting, the IPO members produced a self-determined strategy to guide their work, which includes a component on cultural heritage and indigenous knowledge.

It also seems rather clear that IUCN aims to increase both the gender responsiveness and the social inclusion dimensions of future planning and execution in the proposed future Programme, including the role of indigenous peoples and their organisations.

In the planned 2021-24 Programme, IPs knowledge and actions are given important mention in the section Conservation Works “*There is much to recognise and learn from the knowledge and actions of the world’s indigenous peoples. Many of the planet’s most valuable ecosystems are home to indigenous peoples and local communities. This is why it is imperative that their rights be recognised and enforced, and their knowledge and expertise respected.*” The proposed Programme for 2021-2024 also recognizes women and girls as critical agents of change at the local, national and global levels and claim to ensure their participation in the Programme, which is encouraging.

2.6.3. GENDER EQUALITY AND SOCIAL INCLUSION WITHIN IUCN DELIVERY MODELS

There is little evidence of how IUCN delivery models enhance gender equality and the inclusion of IP in conservation. However, the establishment of an ESMS as an intrinsic part of IUCN’s project cycle has impacted project/program design processes in a first instance, and this should ultimately be reflected in their implementation. The ESMS Manual⁹⁵ specifies that “*mainstreaming environmental and social management within IUCN started in May 2016, following a two-year process of validating and updating an initial version of the ESMS that helped IUCN achieve accreditation as a Global Environmental Facility (GEF) Project Agency. The process included awareness building and training sessions among IUCN Secretariat staff and gathering first feed-back. In parallel, the ESMS was tested on all projects funded under IUCN’s Integrated Tiger Habitat Conservation Programme as well as on IUCN projects being prepared for GEF funding.*” The Manual also mentions that “*because the application of standards to manage environmental and social performance is a new experience, not only for*

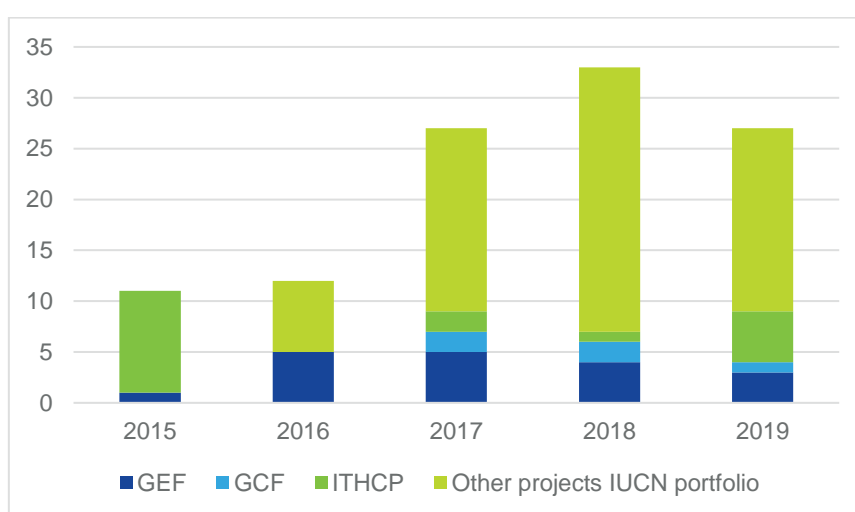
⁹⁴ IUCN, 2019. Environmental & Social Management System (ESMS). Standard on Indigenous Peoples

⁹⁵ Environmental and Social Management System (ESMS) Manual. Version 2.0 – May 2016

IUCN but also for conservation organisations in general, the system will evolve and improve as valuable lessons come out of the first years of ESMS mainstreaming”.

The full ESMS application is only applied to larger projects (budget above CHF 500,000); below this budget level, projects are required to conduct a self-assessment to detect potential risks. Consequently, generally bigger project/programs where IUCN acts as an implementing agency (GEF/GCF projects, and grant-making programs) shall be fully compliant with the ESMS procedure, while smaller projects executed at the local level may only conduct a self-assessment. Figure 19 below shows the evolution in the use of the ESMS tool since it was put in place for GEF/GCF delivery model, the TIGER grant-making program (ITHCP), and other IUCN projects.

Figure 19. Number of projects under the full ESMS procedure⁹⁶



Interviews confirm that the introduction of the ESMS procedures has pushed forward some evolutions in practices. For example, progressively the rule for project developers is now that a gender officer looks at all projects developed to make sure gender is duly considered and aligned with IUCN guidelines. It has also been mentioned several times that IUCN promotes gender equality and the empowerment of women through an approach that goes beyond being gender sensitive (where gender is just considered as something to tick off): IUCN aims to use a gender-responsive approach, in which the proactive identification of gender gaps, discrimination, and biases is carried out, and then actions are implemented to address and overcome them.

An evaluation of the ESMS to analyse its effectiveness and explore opportunities for improving the efficiency of its delivery mechanism is planned in the near future. It shall provide a strong basis for improving the ESMS manual, how it is implemented and its actual impacts on gender responsiveness and social inclusion.

⁹⁶ ESMS Summary Report 2019

Conclusion to Question 6: To what extent has the IUCN Programme design and implementation been responsive to gender and social inclusion?

The IUCN 2017-2020 Programme document is not strongly responsive to gender and social inclusion in its design, as it does not include clear objectives on those aspects, especially when compared with the next programme document evolution that fortunately shows good progress on this issue. That being said, the 2017-2020 Programme is however more responsive in its implementation, with some good examples, but a lot of variability exists between projects. IUCN has often played a leading role on gender and social inclusion, including on Indigenous Peoples, but these aspects need to be more systematically strengthened within projects/programs results frameworks, as well as within policy influencing activities. The ESMS procedure is a potentially powerful tool to enhance social and gender inclusion in IUCN delivery models.

3. CONCLUSIONS

3.1. RELEVANCE

Question 1: To what extent has the IUCN Programme been coherent and relevant to the needs of conservation and the equitable management of natural resources at the global, regional and local levels?

The IUCN Programme 2017-2020 is relevant to the major needs of conservation and equitable natural resource management, as they were identified by a science-based approach and consultative process at the Programme design stage. The IUCN Programme is closely aligned with global conservation objectives and several United Nations frameworks (CDB, SDG). Regional needs are specified in regional work programmes and local needs are usually carefully considered in the project and program development processes on the ground.

The IUCN Programme 2017-2020 is internally coherent. Its broad approach ensures that the portfolio fits under the three Programme areas and is aligned with the Programme global and sub-results. However, resources to achieve its ambitious objectives cannot be mobilized by the IUCN Secretariat alone but should consider membership as a whole.

Coordination and synergies at the regional and local levels between IUCN and partners are satisfactory, as the organization's convening role is globally recognized. They could however be exploited further with the membership, paying specific attention to the clarity of the Union's positioning with respect to its different types of members.

The IUCN Programme 2017-2020 is coherent and relevant to the needs of conservation and the equitable management of natural resources at the global, regional and local levels. Nonetheless, IUCN's positioning towards its members as well the specific contribution of the Secretariat to the Programme could be improved.

3.2. EFFECTIVENESS

Question 2: Has the IUCN Programme been effective in achieving its objectives?

The current monitoring system (through its traffic lights system) shows good progress towards achievement of Programme targets. However, this system has strong limitations as it does not allow the aggregation of the results achieved by projects, programs, Commissions and/or members at the Global Programme level, which hinders the assessment of the effectiveness of the IUCN Programme in achieving its expected results.

Although the IUCN's M&E system has improved, it remains a significant accountability and credibility risk for the organization and requires additional improvements to robustly measure the achievements of the Programme and help support IUCN as a learning organization.

The IUCN Programme has the ambition to be implemented according to the One Programme Approach that promotes the collaboration of all IUCN constituencies. The concept of the One

Programme Approach is widely supported and considered as a key asset of the Union. Nevertheless, its implementation remains challenging.

When it comes to communicating about the Programme and its results, corporate communication is considered satisfactory. However, the Review showed that IUCN's visibility in some international and national fora could be improved, as well as the internal communication about the Programme. With regards to communication with framework donors more specifically, the coordination is deemed effective, even though limited by donor's availability.

The overall effectiveness of the IUCN Programme is difficult to track given the lack of robust monitoring and evaluation system at the global level. Nevertheless, there are indications that the IUCN Programme has progressed in achieving its objectives overall.

3.3. EFFICIENCY

Question 3: Has the IUCN Programme been efficient with regards to its objectives?

IUCN financial management is generally solid, with stable administrative and management cost ratios over the evaluated period, comparable to those of other similar organizations. Nevertheless, financial reporting could be significantly improved from a result-based management perspective, by aligning it to result achievement reporting. This may also help management better understand the delays in project/program budget execution and disbursement rates. Furthermore, reporting on co-financing is not systematic enough across the portfolio to document success or discrepancies in result achievements and leveraging effects of IUCN's work.

While restricted income raised by the Programme is significantly below the initial budget, the leveraging ratio between unrestricted and restricted income remains significant at 7.1 in 2019. This high leveraging ratio on unrestricted funding, coupled with the substantial in-kind contributions made by IUCN's Commissions to the work of the Programme, provide an indication of the good value for money generated by unrestricted funding. IUCN could however clearly benefit from a more robust resource mobilization strategy with a concrete operational plan.

The decrease in unrestricted framework funding has constrained human resource allocation within IUCN with the downside of reduced flexibility. IUCN's changing portfolio also requires a shift in competencies to implement projects and programs. In its move from "retail to wholesale", the Secretariat went through a rationalization process aimed at improving business practices and efficiency, but this process is still ongoing, will require improvements, and has not yet led to the level of internal satisfaction hoped for. Nevertheless, the growth of the portfolio (both in project size and overall value) has been absorbed by a reduced number of staff, creating tensions in personnel allocation but also suggesting that this model has already provided some efficiency gains with respect to portfolio management.

IUCN delivery models – implementing/grant-making or executing agency – have their own advantages and drawbacks. While the executing agency portfolio is the most significant to

date, the implementing portfolio is consistently increasing. Moving “from retail to wholesale”, with fewer small projects and more large-scale programs is generally recognized as positive, but implementing projects funded by the GEF or GCF has not gained full approval to date given the high up-front investments. Relying too much on this implementing agency model with international multilateral funds could weaken IUCN stance and nature in the longer term. This encourages continued support for some form of on-the-ground implementation/execution of projects that bring full value to IUCN core competencies, its model and its members.

Finally, IUCN does have a risk management system in place at the corporate level, which is still at early stages of implementation. At the project level, risk management has improved with ESMS procedures but should be more systematically applied across the portfolio.

Overall, the IUCN Programme management can be considered efficient in its efforts towards its objectives, but financial reporting and the rationalization process now underway require improvements. Performance of different delivery models needs to be carefully monitored as the transition moves forward, to ensure the expected efficiency gains and mix in optimal delivery models materialize in a way that is not detrimental to the effectiveness nor the nature and niche of the Union.

3.4. IMPACT

Question 4: Does the IUCN Programme generate significant and lasting impacts?

The IUCN Programme 2017-2020 does not have a proper system in place to measure progress towards its intended impacts. Nevertheless, even though impacts are difficult to measure and not systematically collected nor compiled, several examples show that IUCN has contributed to impacts, in particular when it comes to its convening role, the rolling out of new concepts, tools or standards, change in practices, and influence on policy and governance processes.

Implementing further the One Programme Approach, improving communication and visibility, investing in policy work, working further with the private sector, promoting innovation and eventually restructuring the organization are potential avenues for improvement identified during the Review to strengthen the overall impact of the organization.

IUCN shows overall positive indications in its ability to generate impacts, although these are hardly measurable nor systematically reported on, and IUCN’s contribution towards impacts could be strengthened on various aspects.

3.5. SUSTAINABILITY

Question 5: How sustainable are the IUCN Programme interventions?

Although the IUCN Programme 2017-2020 does not include an explicit sustainability strategy, the organization’s modus operandi is able to create enabling conditions for sustainability of results achieved, in particular by (i) engaging national and local stakeholders and IUCN members, (ii) generating and disseminating knowledge products, standards and tools, (iii)

influencing and informing policy, (iv) ensuring a long term presence, and (v) building capacity at various levels.

IUCN's and/or its partners' ability in securing funds to sustain conservation outcomes beyond the regular funding cycle of specific project interventions is not systematically tracked at the portfolio level. Nonetheless, a few examples show that some IUCN interventions succeeded in leveraging funding for the continuation or replication of their results after project exit.

At the Global Programme level, financial sustainability is a concern given the steady decrease in unrestricted framework funding and high dependency on restricted project funding. This could jeopardize the sustainability of the Programme, therefore requiring rethinking of the overall funding model.

The IUCN Programme interventions can create enabling conditions for sustainability, which would benefit from being systematized as part of a result sustainability strategy at the Programme level. Further investment in learning, as well as rethinking the funding model of the organization as a whole, would also strengthen overall sustainability of the Programme and its operations.

3.6. GENDER RESPONSIVENESS AND SOCIAL INCLUSION

Question 6: To what extent has the IUCN Programme design and implementation been responsive to gender and social inclusion?

The IUCN 2017-2020 Programme document is not strongly responsive to gender and social inclusion in its design, as it does not include clear objectives on those aspects. The Programme is however more responsive in its implementation, with some good examples, but a lot of variability exists between projects. Projects/programs results frameworks are usually weak regarding gender and social inclusion, which does not allow for the good monitoring of their alignment with the IUCN Gender Equality and Women's Empowerment Policy.

IUCN is recognized for its role in influencing policies at the global and national levels on gender aspects, but there is little evidence of mainstreaming of social inclusion and gender equality more generally in IUCN's own policy influencing activities. It seems rather clear however that IUCN aims to increase both the gender responsiveness and the social inclusion dimensions of future planning and execution in the proposed future Programme, including the role of indigenous peoples and their organizations.

The relatively recent establishment of an Environmental and Social Management System (ESMS) as an intrinsic part of IUCN's project cycle has influenced project/program design processes in a first instance, and this should ultimately be reflected in their implementation. The planned evaluation of the ESMS will be an opportunity to assess how IUCN delivery models enhance gender equality and social inclusion in conservation

Gender responsiveness and social inclusion is a work in progress throughout IUCN. While a lot has been done to push forward those aspects to date, the new Programme

2021-2024 will be an opportunity to strengthen the role of women, indigenous peoples and overall social inclusiveness in conservation and sustainable development.

4. RECOMMENDATIONS

Based on the Review findings and conclusions, the Review team proposes the following recommendations:

Recommendation 1: Build a results-based 2021-2024 Programme

The Review highlights a number of weaknesses regarding the design process of the Programme 2017-2020, and the level of integration of projects/programs and Global Thematic programmes into the Global Programme. In the process of designing the 2021-2024 Programme, it is recommended to:

- **Build the Theory of Change (ToC)** of the Programme, clarifying how the Programme intends to contribute to longer term transformative impacts. Such ToC should identify key drivers for change, as well as the underlying assumptions for success and risks that need to be monitored and managed during the next programme implementation phase. The ToC should also be key in helping identify, from an accountability and management perspective, what is realistically under the sphere of control of IUCN and its constituencies during the programming, what is the sphere of influence of IUCN and its partners in implementation in terms of end-of-Programme results/outcomes, and what is in IUCN's and its constituencies sphere of interest with respect to longer term results/impacts.
- **For these different spheres of control/influence and interest, clearly differentiate** between (i) which part of the Programme results are expected to be delivered/supported by the IUCN Secretariat, and (ii) which ones are expected from other Union constituencies. This will not only clarify the objectives, scope and results of the Programme, but also facilitate the monitoring of the contributions of the IUCN constituencies towards the Programme during its implementation and assist in both financial and human resource allocation in terms of types and quantity of resources.
- **Update guidelines for project development** to ensure that IUCN project/program results frameworks are clearly linked to the global quadrennial Programme, with clearly defined expected impacts, outcomes and outputs, which will enable to better monitor how projects contribute on their own and as a whole, to the aggregated achievement of the Programme's sub-results and targets. This would help for example aggregate achievements of the projects/programs portfolio in terms of gender responsiveness and social inclusion, among other aspects.

Recommendation 2: Transform IUCN into a learning organization

In order for IUCN to achieve its overall goals and remain at the forefront of nature conservation, it is crucial for the organization to build on a continuous improvement cycle and learn and grow from experience. This is particularly true for IUCN as a Union that can benefit and consolidate experience from a large number and diversity of members. In this regard, it is recommended to:

- **Strengthen the IUCN M&E and reporting system for the 2021-2024 Programme.** As highlighted in this Review, IUCN's M&E system remains a significant accountability and credibility risk for the organization and requires additional improvement to robustly

measure the achievements of the Programme and help support IUCN as a learning organization. Several sub-steps are recommended to do so:

- Develop a list of SMART indicators for each Programme's expected results and impacts. This list should be limited to a manageable number of indicators, a maximum of 20 would seem reasonable.
- Develop a robust performance management framework (PMF) setting for each indicator a baseline, a target, as well as the responsible entity and data source. This shall be the main tool to track progress towards the achievement of Programme results.
- Develop a platform where IUCN members and commissions can easily input their contribution towards the indicators measuring progress towards results at the Union level.
- Ensure that each newly developed project select a few indicators from the list of SMART indicators at the impact and outcome levels that should flow from their own internal logic as a part of the Programme. These indicators should be included in the results framework of the project and should be part of regular reporting. Currently, projects are requested to report on some programme indicators, but they are not fully integrated into their results framework. An integration of Programme indicators in the projects' results framework will ensure that projects are aligned to the Global Programme, and that their contribution towards Programme results will be captured and aggregated at the global level. The integration of Programmatic indicators into projects' results framework from the onset should be specified in the Project guideline to ensure its application across the portfolio.
- Ensure that at the beginning of the intersessional period, Commissions also select a few Programmatic indicators that are relevant to their work. These indicators should be integrated in their strategic planning/workplan and reported on yearly.
- Ensure the timing of project/program evaluations is adequate, making sure evaluations conducted not only provide an assessment of results achieved but also capture lessons learned to inform future project/program design. This is particularly true regarding programs with multiple phases, and for the quadrennial Global Reviews, which are generally conducted while the new IUCN Programme has already been designed. It is therefore suggested that a final review of the previous Programme could be combined with a mid-term review of the on-going Programme, 2 years into implementation. The same applies to the evaluation of programs with several phases of implementation. A new phase can be designed before the final evaluation of the previous phase is conducted, which means the new phase relies on the mid-term evaluation and internal assessment of the evolutions needed. This would ensure that lessons from the previous phase can be taken into consideration into the next.
- Ensure financial reporting at project/program level is aligned to results achievement, and ensure that cofinancing and leveraging effect across the portfolio are properly tracked.

- **Develop a Programme-level sustainability-for-result strategy.** The sustainability and exit strategies at project level would need to be better tracked to ensure that the enabling conditions and building blocks that IUCN is able to create are effectively put in place across the portfolio, in a more systematic manner. This information should then be consolidated at the Global Programme level, which would provide useful insight on the overall sustainability of the Programme results, and their contribution to the paradigm change that IUCN is aiming to achieve.
- **Develop a mechanism to systematically capture lessons learned at the project, regional, programme, unit, and IUCN Global Programme level.**
 - IUCN and its members produce an enormous quantity of valuable knowledge based on experiments and experience which needs to be captured, aggregated, analyzed and disseminated. For example, considering the high-relevance of the grant-making mechanism delivery model for IUCN, it could be worth considering conducting a stock-taking exercise from IUCN's experience in grant-making. This would allow to draw lessons and identify bottlenecks in such delivery model to address them in upcoming initiatives, increase efficiency and avoid delays in the future. This exercise could also serve as a basis to build capacity amongst IUCN staff to increase the Secretariat's overall performance in grant-making.
 - While such mechanism would largely build on the M&E system described above, it is recommended to explore possible technical solutions to capture lessons learned through the project portal, and/or platforms such as PANORAMA.

Recommendation 3: Clarify resource mobilization and place innovation at its centre

There is a need to clarify resource mobilization for Programme delivery. How much should be mobilized to deliver program objectives? How should these funds be mobilized? By whom? Given the broad scope of the quadrennial IUCN Programmes, sizing the resources needed to achieve the intended high-level objectives is complicated. Nonetheless, the Secretariat work programme set within the 2021-2024 Programme should clearly identify possible sources of funding, set funding targets and assign responsibilities in mobilizing funds, within a 10-year perspective. It is therefore recommended to:

- **Develop a robust resource mobilization strategy tailored to the IUCN Programme objectives.**
 - Such strategy should explain which type of resources should be mobilized, from which source, and how, to achieve the IUCN Programme overall objective and expected results. The strategy should help shape the agenda and dialogue on funding for conservation, based on the key strategic areas identified in the Programme's Theory of Change referred to under recommendation 1 above.

- The strategy should also identify roles and responsibilities for its implementation, as well as the resources and staff time required to raise funding and develop the portfolio accordingly, in order to achieve the Programme higher impacts in the long term. The strategic exercises undertaken in that regard by the GEF/GCF unit could be explored further and eventually replicated to develop a resource mobilization strategy for the entire organization.
- The strategy should help IUCN's resource mobilization shift from being reactive and opportunistic to being strategic. It should clearly present the unique role and positioning of IUCN, as well as the specific tasks related to this role that need to be funded, in particular as regards non-project functions.
- **Boost innovation**
 - Resource mobilization is far from being neutral: the type of funds mobilized shape the organization's positioning and types of interventions. How we try to mobilize resources impacts the organization. Putting innovation at the centre of resource mobilization would enhance IUCN's leading position and reinforce its legitimacy – i.e. attract donors based on the organization's capacity to innovate, to be cutting edge, and to remain relevant to its mission and members.
 - The resource mobilization strategy would for instance closely analyze the added value of GEF/GCF projects for IUCN. The growth of the GEF/GCF project portfolio will require a close monitoring and adequate resource allocation, in particular taking into consideration the investment needed for proposal development (especially GCF proposals). This to ensure that the GEF/GCF IUCN portfolio is financially sustainable for the organization, remains relevant to IUCN's mission, enables innovation and brings value in IUCN's core areas of work.
 - Currently, there is limited space to innovate as IUCN staff is too stretched and must focus on day to day activities. The IUCN Secretariat could consider forming a strategic innovation unit of 2-3 people, directly under the Director General, that would be dedicated to monitoring the quickly changing international context in order to continuously identify and map out key emerging and cutting-edge issues of interest for IUCN. This unit should remain small, flexible and immune to organizational mandate creeping. It could help the Secretariat in affirming its niche, staying relevant in the conservation community and to its members, as well as its mission, and at the forefront of innovation to better meet evolving international needs in its core areas of focus. Alternatively, or as a complement, the establishment of an Innovation working group gathering Commissions' members with a diversity of profiles, could be explored.

Recommendation 4: Accompany change

For the last few years, the IUCN Secretariat has gone through a rationalization process which is strongly influencing the organizations' operations. It is therefore important to consider:

- **Providing adequate support and improving internal communication** to help staff understand and build ownership over the organizational changes introduced in the past years to professionalize the Secretariat and increase overall efficiency. This is key for the Union to move forward as a whole towards common objectives.
- **Developing a project analysis tool to help IUCN identify the most relevant interventions to implement.** This is key in recognizing the importance of executing projects on the ground (for technical, financial and positioning reasons), as well as the limits of this delivery model and the distinct expectations from the different categories of membership (diverging views between State and NGO members). This project analysis tool could take the form of a simple online questionnaire to test the relevance of future projects to be executed by IUCN. Such tool would include several questions to answer (e.g. why is IUCN relevant to execute this project? Will there be any IUCN members involved in project execution? Are IUCN members aware of this project? Have they expressed interest? How is this project strategic to IUCN? etc.) and provide an average rating to the project with a go/no go advice. Existing templates, guidelines, and approval process in place for concept and proposal design provide some useful guidance on those aspects, but this type of tool – to be developed and agreed with members – would enable the quick assessment of project concepts against the ongoing programme priorities and objectives, This could help frame IUCN's portfolio of projects in the future, reinforce the implementation of the One Programme Approach and clarify IUCN position as regards project execution on the ground.
- **Acknowledging and addressing the required changes in competencies induced by the recent evolutions of IUCN organizational structure and portfolio.** The increased number of GEF/GCF projects as an implementing agency, of grant-making programs, and the rationalization process of the Secretariat, have modified the qualifications needed in the organization. For some projects/programs, strong project management competencies are required, including financial and human resource management. To respond to this shift in competency requirements, the Secretariat must change the type of staff it recruits and ensure that training of human resources is strongly linked to ongoing and future changes in the organization, so that IUCN staff is adequately positioned to perform effectively, as well as adequately equipped in terms of knowledge, skills and expertise to adapt to this changing organization and its changing portfolio.

5. ANNEXES

5.1. ANNEX 1: EVALUATION MATRIX

Judgment criteria	Indicators	Data collection methods	Information sources
Q1. To what extent has the IUCN Programme been coherent and relevant to the needs of conservation and the equitable management of natural resources at the global, regional and local levels? (RELEVANCE CRITERIA)			
J1.1. The Programme properly accounts for the needs of conservation and the equitable management of resources	11.1.1 Level of alignment between the Programme and global needs in terms of conservation and the equitable management of natural resources	<ul style="list-style-type: none"> Documentation Review 	<ul style="list-style-type: none"> Programme document Global situation analysis for the 2017-2020 Programme External documentation on the state of conservation and management of natural resources (i.e. Living Planet Report) Members
	11.1.2 Level of alignment between the Programme and the needs in terms of conservation and the equitable management of natural resources at the regional levels	<ul style="list-style-type: none"> Documentation Review Interviews 	<ul style="list-style-type: none"> Programme document Global situation analysis for the 2017-2020 Programme NRGF Strategy Sample of Regional Offices annual reports Sample of regional program documents and evaluation reports Regional Offices Members
	11.1.3 Level of alignment between the Programme and local and target beneficiaries' needs in terms of conservation and the equitable management of natural resources at the local levels	<ul style="list-style-type: none"> Documentation Review 	<ul style="list-style-type: none"> Programme document Global situation analysis for the 2017-2020 Programme General documentation on the national economy and development situation

		<ul style="list-style-type: none"> • Fields visits 	<ul style="list-style-type: none"> • Sample of project/program evaluation report • Members • Beneficiaries, national offices
	11.1.4 Level of consideration of context and needs in the IUCN project/program development process	<ul style="list-style-type: none"> • Documentation review • Interviews • Field visits 	<ul style="list-style-type: none"> • Sample of project/program documents • Regional offices • Beneficiaries, national offices
J1.2. The Programme is internally coherent	11.2.1 Level of coherence between the Programme's objective, global results, sub-results and targets	<ul style="list-style-type: none"> • Documentation review 	<ul style="list-style-type: none"> • Programme document
	11.2.2 Level of alignment between the Programme's scope and objectives and the resources available	<ul style="list-style-type: none"> • Documentation review 	<ul style="list-style-type: none"> • Programme document • Programme financial plan • Programme budget
	11.2.3 Perception of the level of appropriateness of the interventions compared to available resources	<ul style="list-style-type: none"> • Interviews 	<ul style="list-style-type: none"> • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Planning monitoring and evaluation unit (HQ) • Programme and Policy Committee of Council • Framework donors • Regional offices • IUCN members
	11.2.4 Perception of the level of involvement of stakeholders in the design of the IUCN Programme 2017-2020	<ul style="list-style-type: none"> • Interviews • Field visits 	<ul style="list-style-type: none"> • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Planning monitoring and evaluation unit (HQ) • Regional offices • Programme and Policy Committee of Council • Framework donors • National offices • Members

	<p>11.2.5 Level of alignment between IUCN Secretariat business lines and offerings and the Programme’s objectives</p>	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Programme Document • Thematic programme business lines documents • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Planning monitoring and evaluation unit (HQ) • Regional offices • Programme and Policy Committee of Council
	<p>11.2.6 Level of alignment between programs/projects and the Programme</p>	<ul style="list-style-type: none"> • Portfolio analysis • Documentation review • Interviews 	<ul style="list-style-type: none"> • IUCN Portfolio • Sample of project/program documents • Business lines ToC • Thematic programme business lines documents • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Planning monitoring and evaluation unit (HQ) • Regional offices • Members
	<p>11.2.7 Level of complementarity between programs/projects</p>	<ul style="list-style-type: none"> • Portfolio analysis • Interviews • Field visits 	<ul style="list-style-type: none"> • IUCN Portfolio • Sample of project/program documents • Business lines ToC • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Regional offices • National offices, beneficiaries • Members

J1.3. Synergies between IUCN and other partners have been optimally exploited	I1.3.1 Examples of synergies between IUCN and implementing or executing partners or cofinancers' interventions	<ul style="list-style-type: none"> Portfolio analysis Interviews Field visits 	<ul style="list-style-type: none"> Portfolio data Global Programme Directors (HQ), Thematic program managers, Commission chairs Framework donors Regional offices Implementing or executing partners Other agencies/donors/NGOs active in the country
Q2. Has the IUCN Programme been effective in achieving its objectives? (EFFECTIVENESS CRITERIA)			
J2.1. The Programme has achieved its expected results	I2.1.1 Progress towards achievement of Programme targets	<ul style="list-style-type: none"> Documentation review 	<ul style="list-style-type: none"> Annual progress reports
	I2.1.2 Level of contribution to Aichi targets and SDGs	<ul style="list-style-type: none"> Documentation review 	<ul style="list-style-type: none"> Annual progress reports
	I2.1.3 Level of achievement of the Programme's sub-results and global results	<ul style="list-style-type: none"> Documentation review Interviews 	<ul style="list-style-type: none"> Annual progress reports Global Programme Directors (HQ), Thematic program managers, Commission chairs Planning and M&E unit (HQ) Regional offices
	I2.1.4 Level of contribution of the project/program portfolio to the IUCN Programme	<ul style="list-style-type: none"> Portfolio analysis Documentation review 	<ul style="list-style-type: none"> IUCN Portfolio data Sample of project/program evaluations
	I2.1.5 Perception of the adequacy of IUCN delivery models to promote change at scale and systemic change	<ul style="list-style-type: none"> Interviews 	<ul style="list-style-type: none"> Global Programme Directors (HQ), Thematic program managers, Commission chairs Planning and M&E unit (HQ) Regional offices Framework donors
J2.2. The One Programme Approach added value to Programme results	I2.2.1 Level of knowledge and understanding of the One Programme Approach	<ul style="list-style-type: none"> Field visits 	<ul style="list-style-type: none"> Members Regional offices National offices

	12.2.2 Perception or examples of contribution of the One Programme Approach to the achievement of Programme results	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Annual Progress reports • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Planning and M&E unit (HQ) • Regional offices • Programme and policy committee of Council
J2.3. IUCN has a robust M&E system that allows to measure the achievement of results at project, program and Programme scale	12.3.1 Type of M&E system in place to measure achievement of results	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Annual progress reports • M&E system at Programme and project/program levels • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Planning and M&E unit (HQ) • Regional offices
	12.3.2 Quality and level of use of M&E system at project, program and Programme levels	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Sample of project/program monitoring documentation • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Planning and M&E unit (HQ) • Regional offices
	12.3.3 Quality and timeliness of monitoring and evaluation reports at project, program and Programme levels	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Sample of project/program monitoring documentation • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Planning and M&E unit (HQ) • Regional offices
	12.3.4 Extent and quality of the Programme adaptive management (system in place to capture lessons learned and to act upon them)	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Annual progress reports • Monitoring reports • Global Programme Directors (HQ), Thematic program managers, Commission chairs

			<ul style="list-style-type: none"> • Programme and Policy Committee of Council • Regional offices
J2.4. IUCN communicates efficiently about the Programme	12.4.1 Methods used to communicate the Programme strategy to staff and stakeholders	<ul style="list-style-type: none"> • Interviews 	<ul style="list-style-type: none"> • Global communication unit at HQ • Programme and policy committee of Council • Framework donors
	12.4.2 Resources allocated to this communication	<ul style="list-style-type: none"> • Documentation review 	<ul style="list-style-type: none"> • Financial data
	12.4.3 Different stakeholder categories reached and means used to reach them	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Programme communication strategy (if any) • Global communication unit at HQ • Programme and policy committee of Council
	12.4.4 Level of awareness and knowledge of the Programme strategy amongst staff and stakeholders	<ul style="list-style-type: none"> • Interviews • Field visits 	<ul style="list-style-type: none"> • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Regional offices • Members • National offices
J2.5. Communication and coordination between IUCN framework donors are effective	12.5.1 Existing donor coordination and communication mechanisms	<ul style="list-style-type: none"> • Interviews 	<ul style="list-style-type: none"> • Global strategic partnership unit • Regional Offices (incl Brussels) • Framework donors
	12.5.2 Frequency of donor meetings and visits	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Meeting minutes • Global strategic partnership unit • Framework donors
	12.5.3 Role played by IUCN in donor coordination and communication	<ul style="list-style-type: none"> • Interviews 	<ul style="list-style-type: none"> • Global strategic partnership unit • Brussels Office • Regional and country offices • Framework donors
	12.5.4 Resources allocated by IUCN to this coordination and communication with framework donors	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Financial and HR data • Global strategic partnership unit

	12.5.5	Level of satisfaction regarding the coordination and communication between framework donors	<ul style="list-style-type: none"> Interviews 	<ul style="list-style-type: none"> Framework donors
	12.5.6	Level of awareness and knowledge of the Programme strategy amongst donors	<ul style="list-style-type: none"> Interviews 	<ul style="list-style-type: none"> Framework donors Other key donors?
Q3. Has the IUCN Programme been efficient with regards to its objectives? (EFFICIENCY CRITERIA)				
J3.1. Programs and projects under the IUCN Programme have been efficiently implemented and managed	13.1.1	Budget execution rate (planned budget vs actual disbursement) at the projects/programs and Programme levels	<ul style="list-style-type: none"> Portfolio financial analysis Documentation Review 	<ul style="list-style-type: none"> IUCN Portfolio data Programme budget Annual progress reports
	13.1.2	Budget execution compared to degree of achievement of project/program results	<ul style="list-style-type: none"> Documentation review Interviews 	<ul style="list-style-type: none"> Annual progress reports Sample of project/program monitoring documents Projects/programs managers
	13.1.3	Average project and program management costs	<ul style="list-style-type: none"> Portfolio financial analysis 	<ul style="list-style-type: none"> IUCN Portfolio financial data
	13.1.4	Evidence and/or examples of delays in project/program implementation	<ul style="list-style-type: none"> Interviews Documentation review Field visits 	<ul style="list-style-type: none"> Project/Program manager Sample of project/program monitoring and evaluation reports National offices and project teams
	13.1.5	Quality of the financial monitoring systems in place at the project/program and Programme levels	<ul style="list-style-type: none"> Documentation review Interviews Field visits 	<ul style="list-style-type: none"> Financial monitoring system Sample of project/program monitoring documents Secretariat staff in charge of finance (HQ and regional office) Planning monitoring and evaluation unit (HQ) National offices and project teams
	13.1.6	Evidence or examples of value for money provided by the Programme	<ul style="list-style-type: none"> Documentation review Interviews 	<ul style="list-style-type: none"> Annual progress reports Global Programme Directors (HQ), Thematic program managers, Commission chairs Planning and M&E unit (HQ) Regional offices

		<ul style="list-style-type: none"> Field visits 	<ul style="list-style-type: none"> Programme and policy committee of Council National offices, project teams
	13.1.7 Perception of the ability of the IUCN Programme to provide value for money	<ul style="list-style-type: none"> Interviews Field visits 	<ul style="list-style-type: none"> Global Programme Directors (HQ), Thematic program managers, Commission chairs Planning and M&E unit (HQ) Regional offices Programme and policy committee of Council National offices, project teams Members
J3.2. The Programme succeeded in raising financial resources commensurate with its objectives	13.2.1 Nature and amount of financial resources raised by the Programme	<ul style="list-style-type: none"> Documentation review Interviews 	<ul style="list-style-type: none"> Annual reports, financial reports, Programme budget, annual progress reports Finance unit HQ Programme and Policy Committee of Council
	13.2.2 Level of alignment between the Programme's objective in raising financial resources and the amount of financial resources effectively raised	<ul style="list-style-type: none"> Documentation review 	<ul style="list-style-type: none"> Programme financial plan Programme financial information Annual progress reports
	13.2.3 Percentage and type of cofinancing in IUCN programs and projects	<ul style="list-style-type: none"> Documentation review Portfolio analysis Interviews Field visits 	<ul style="list-style-type: none"> Sample of project/programme monitoring documentation Portfolio financial data Finance unit HQ Global Programme Directors (HQ), Thematic program managers Regional offices National offices and project teams
J3.3. IUCN Secretariat resources and capacities were appropriate to manage the IUCN Programme	13.3.1 Number, evolution and type of IUCN Secretariat staff	<ul style="list-style-type: none"> Documentation review Interviews 	<ul style="list-style-type: none"> Corporate documents, annual reports Secretariat staff Regional offices
	13.3.2 Number of projects and programs in the portfolio	<ul style="list-style-type: none"> Portfolio analysis 	<ul style="list-style-type: none"> IUCN portfolio data

and the associate project/program portfolio	13.3.3 Perception of the adequation of Secretariat's resources and capacities to implement the IUCN Programme, and related program and project portfolio	<ul style="list-style-type: none"> • Documentation Review • Interviews 	<ul style="list-style-type: none"> • Corporate documentation of other organizations such as WWF • IUCN Council • Secretariat staff • Framework donors • Regional offices • Implementing or executing partners • Members
J3.4. IUCN performs well and efficiently in its delivery models	13.4.1 IUCN delivery models	<ul style="list-style-type: none"> • Documentation review 	<ul style="list-style-type: none"> • Corporate documents, Programme financial plan
	13.4.2 Proportion of financial resources allocated to each delivery model	<ul style="list-style-type: none"> • Documentation review 	<ul style="list-style-type: none"> • IUCN portfolio financial data • Annual progress report
	13.4.3 Perception of the efficiency of IUCN delivery models	<ul style="list-style-type: none"> • Interviews • Field visits 	<ul style="list-style-type: none"> • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Planning and M&E unit (HQ) • Regional offices • National offices and project teams • Members
	13.4.4 Level of satisfaction regarding IUCN delivery models	<ul style="list-style-type: none"> • Interviews • Field visits 	<ul style="list-style-type: none"> • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Planning and M&E unit (HQ) • Regional offices • Programme and policy committee of Council • Members • National offices and project teams
	13.4.5 IUCN results and management fees in its implementing and grant making agency delivery models compared to other agencies with a similar role	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Fees and results of other agencies (corporate documentation) • Planning and M&E unit (HQ) • Coordination Unit GEF and GCF (HQ) • Managers of grant making programs

	13.4.6	Number and type of projects/programs implemented by IUCN as an implementing agency under the Programme	<ul style="list-style-type: none"> IUCN Portfolio analysis 	<ul style="list-style-type: none"> IUCN Portfolio data
	13.4.7	Number and type of projects/programs implemented by IUCN as a grant making agency under the Programme	<ul style="list-style-type: none"> IUCN Portfolio analysis 	<ul style="list-style-type: none"> IUCN Portfolio data
	13.4.8	Number and quality of processes in place for IUCN as an implementing agency, and as a grant-making agency	<ul style="list-style-type: none"> Interviews 	<ul style="list-style-type: none"> Planning and M&E unit (HQ) Coordination Unit GEF and GCF (HQ) Managers of grant making programs
J3.5. Risks have been properly managed in the implementation of the Programme	13.5.1	Evidence of the existence and use of a risk management system at Programme, project and program level	<ul style="list-style-type: none"> Documentation review Interviews Field visits 	<ul style="list-style-type: none"> Programme, program and project documents Corporate documents Global Programme Directors (HQ), Thematic program managers, Commission chairs Planning and M&E unit (HQ) Regional offices Programme and policy committee of Council National offices, project teams
	13.5.2	Evidence or examples of good or bad risk management	<ul style="list-style-type: none"> Interviews Field visits 	<ul style="list-style-type: none"> Global Programme Directors (HQ), Thematic program managers, Commission chairs Planning and M&E unit (HQ) Regional offices Programme and policy committee of Council National offices, project teams Members
	13.5.3	Perception and recommendations regarding IUCN's management of indirect exposure to risk in its role as implementing or grant making agency	<ul style="list-style-type: none"> Interviews 	<ul style="list-style-type: none"> Planning monitoring and evaluation unit at HQ Coordination Unit GEF and GCF (HQ) Managers of grant making programs

Q4. Does the IUCN Programme generate significant and lasting impacts? (IMPACT CRITERIA)				
J4.1. The IUCN Programme has contributed or enabled progress towards its intended impact	14.1.1	IUCN Programme's intended impacts	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Programme document • Annual progress report • Programme and policy committee of Council • Planning and M&E unit at HQ
	14.1.2	Level of achievement of IUCN Programme impact indicators	<ul style="list-style-type: none"> • Portfolio analysis • Documentation review 	<ul style="list-style-type: none"> • IUCN portfolio data • Annual progress reports • Sample of programs evaluation reports
	14.1.3	Evidence and extent of barriers or enabling conditions toward achievement of Programme's impacts	<ul style="list-style-type: none"> • Documentation review 	<ul style="list-style-type: none"> • Sample of programs evaluation reports • Annual progress reports
	14.1.4	Perception of Programme's contribution to long term changes for nature and people	<ul style="list-style-type: none"> • Interviews 	<ul style="list-style-type: none"> • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Regional offices • Framework donors and global/regional project donors
	14.1.5	Recommendations to define and enhance IUCN impact	<ul style="list-style-type: none"> • Interviews 	<ul style="list-style-type: none"> • Programme and policy committee of Council • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Regional offices • Framework donors
	14.1.6	Perception of the adequacy of IUCN delivery models to achieve impact at scale	<ul style="list-style-type: none"> • Interviews 	<ul style="list-style-type: none"> • Programme and policy committee of Council • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Regional offices • Framework donors
J4.2. IUCN has systems in place to measure	14.2.1	Evidence of systems in place, and perception of its quality to measure Programme impacts	<ul style="list-style-type: none"> • Documentation review 	<ul style="list-style-type: none"> • Annual progress reports

intended, expected and actual impacts of its work		<ul style="list-style-type: none"> Interviews 	<ul style="list-style-type: none"> M&E system at Programme and project/program levels Global Programme Directors (HQ), Thematic program managers, Commission chairs Planning and M&E unit (HQ) Regional offices Framework donors
	14.2.2 Quality and adequacy of Programme impact indicators	<ul style="list-style-type: none"> Documentation review Interviews 	<ul style="list-style-type: none"> List of impact indicators Programme and policy committee of Council Planning and M&E unit (HQ)
	14.2.3 Timeliness and quality of reporting towards impact indicators	<ul style="list-style-type: none"> Documentation review Interviews 	<ul style="list-style-type: none"> Annual progress reports Project portfolio Planning and M&E unit (HQ)
	14.2.4 Recommendations on how IUCN can best formulate what it aims to achieve	<ul style="list-style-type: none"> Interviews 	<ul style="list-style-type: none"> Programme and policy committee of Council Planning and M&E unit (HQ) Global Programme Directors (HQ), Thematic program managers, Commission chairs Regional Offices Framework donors
Q5. How sustainable are the IUCN Programme interventions? (SUSTAINABILITY CRITERIA)			
J5.1. The IUCN Programme had a sound sustainability strategy that was effectively implemented	15.1.1 IUCN Programme implicit or explicit sustainability strategy	<ul style="list-style-type: none"> Documentation review Interviews 	<ul style="list-style-type: none"> Programme document Annual progress report Programme and policy committee of Council Planning and M&E unit (HQ) Global Programme Directors (HQ), Thematic program managers, Commission chairs Regional Offices Framework donors

	15.1.2	Extent of barriers and/or risks to Programme results sustainability	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Annual progress reports • Sample of programs evaluation reports • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Regional Offices
	15.1.3	Perception of the Programme results' sustainability and resilience to risk	<ul style="list-style-type: none"> • Interviews 	<ul style="list-style-type: none"> • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Planning and M&E unit (HQ) • Regional Offices
J5.2. The IUCN Programme established/ enhanced institutional and human resources capacity, processes and systems in the Union and amongst stakeholders that are likely to be sustained	15.2.1	Programme's achievements with regards to the enhancement of institutional and human resources capacity, processes and systems in the Union and amongst stakeholders	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Annual progress reports • Sample of programs evaluations • Union Development group (HQ) • Members • HR Group
	15.2.2	Perception of the adequacy of these capacity, processes and systems capacity enhancement actions with actual needs	<ul style="list-style-type: none"> • Field visits • Interviews 	<ul style="list-style-type: none"> • Members • Beneficiaries, national offices • Union Development group (HQ)
	15.2.3	Likelihood that these capacity, processes and systems will be sustained	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Annual progress reports • Sample of programs evaluations • Union Development group (HQ) • Members
J5.3. IUCN is able to mobilize financing for conservation outcomes and support their financial sustainability after project exit	15.3.1	Example of projects/programs that mobilized financing for conservation outcomes and financial sustainability after project exit	<ul style="list-style-type: none"> • Documentation review • Interviews • Field visits 	<ul style="list-style-type: none"> • Annual progress reports • Sample of programs evaluations • Global Programme Directors (HQ), Thematic program managers • Regional offices • Finance unit HQ • National offices and project teams
	15.3.2	Perception of the project/programs financial sustainability	<ul style="list-style-type: none"> • Interviews 	<ul style="list-style-type: none"> • Global Programme Directors (HQ), Thematic program managers • Regional offices • Finance unit HQ

		<ul style="list-style-type: none"> • Field visits 	<ul style="list-style-type: none"> • National offices and project teams
Q6. To what extent has the IUCN Programme design and implementation been responsive to gender and social inclusion? (GENDER RESPONSIVENESS AND SOCIAL INCLUSION CRITERIA)			
J6.1. The IUCN Programme is gender responsive	16.1.1 IUCN Programme’s objective in terms of gender responsiveness	<ul style="list-style-type: none"> • Documentation review 	<ul style="list-style-type: none"> • IUCN Programme • IUCN Gender Equality and Women’s Empowerment Policy
	16.1.2 Level of achievement of gender responsiveness objectives	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Annual progress reports • Sample of programs evaluation reports • Programme and policy committee of Council • Global Programme Directors (HQ), Thematic program managers • Regional offices • M&E and planning unit HQ • Framework donors
	16.1.3 Level of alignment between the IUCN Programme (and subsequent projects/programmes) and the IUCN Gender Equality and Women’s Empowerment Policy	<ul style="list-style-type: none"> • Documentation review • Interviews • Field visits 	<ul style="list-style-type: none"> • IUCN Gender Equality and Women’s Empowerment Policy • Sample of project/program documents • Programme and policy committee of Council • Global Programme Directors (HQ), Thematic program managers • Regional offices • National offices
J6.2. The IUCN Programme has mainstreamed gender equality and inclusion of indigenous people in policy influencing	16.2.1 Level of consideration of gender equality and social inclusion in planning and execution of IUCN policy influencing activities	<ul style="list-style-type: none"> • Documentation review • Interviews • Field visits 	<ul style="list-style-type: none"> • Annual progress reports • Programme document • Programs/project document • Documentation of free prior and informed consent methodology • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Regional offices • National offices

	<p>I6.2.2 Evidence or examples of mainstreaming of social inclusion and gender equality in policy influencing activities</p>	<ul style="list-style-type: none"> • Interviews • Field visits 	<ul style="list-style-type: none"> • Global Programme Directors (HQ), Thematic program managers, Commission chairs • Regional offices • National offices
<p>J6.3. IUCN delivery models enhance gender equality and the inclusion of indigenous people in conservation</p>	<p>I6.3.1 Examples/evidence of how IUCN delivery models enhance gender equality and the inclusion of indigenous people in conservation</p>	<ul style="list-style-type: none"> • Documentation review • Interviews 	<ul style="list-style-type: none"> • Annual reports and annual progress reports • Sample of program evaluation reports • Documentation of free prior and informed consent methodology • Programme and policy committee of Council • Global Programme Directors (HQ), Thematic program managers • Regional offices

5.2. ANNEX 2: DETAILED PORTFOLIO DATA

This analysis is based on the portfolio data provided by IUCN to review team on January 31st, 2020.

Overall budget and number of projects

Total Portfolio Budget (500 projects)	404.042.566
Average Budget per project	808.085 CHF
Median Budget per project	119.735 CHF
Highest Budget per project	50.220.890 CHF
Lowest Budget per project	2.840 CHF

Project duration

Maximum length	7Y2M
Minimum length	0Y10M
Median length	2Y4,5M

Ongoing/closed projects

Project Status	# Projects	% Projects	Budget	% Budget
Closed	115	23%	13.714.527	3%
Ongoing	385	77%	390.328.039	97%

Business engagement and GCF/GEF projects

Category	Sub-cat.	# Projects	% Projects	Budget (CHF)	% Budget
Business engagement	With	55	11%	55.726.428	14%
	Without	445	89%	348.316.138	86%
GEF/ GCF	GEF/GCF Projects	18	4%	20.462.077	5%
	Not GEF/GCF	482	96%	383.580.489	95%

Geographic Distribution

Region	# Projects	% Projects	Budget (CHF)	% Budget
Asia Region	104	21%	28,551,898	7%
Centre for Mediterranean Cooperation	21	4%	6,867,995	2%
Eastern and Southern Africa Region	42	8%	48,391,817	12%
HQ	225	45%	202,779,846	50%
IUCN Eastern Europe and Central Asia Regional Office (RS)	18	4%	5,512,728	1%
IUCN European Regional Office (BE)	14	3%	1,980,177	0%

IUCN Washington DC Office (US)	2	0%	659,944	0%
Mexico, Central America and the Caribbean Region	18	4%	46,850,347	12%
Oceania Region (FJ)	6	1%	4,608,464	1%
South America Region	8	2%	8,524,254	2%
West and Central Africa Region	25	5%	37,904,731	9%
West Asia Region (RO)	17	3%	11,410,365	3%

Thematic Distribution

Thematic Programs	# Projects that fall under the theme
Business and biodiversity	66
Ecosystem Management	108
Environmental Law	17
Forest	54
Global policy	25
Governance and rights	43
Marine and Polar	53
Protected areas and World Heritage	70
Science and economics	17
Species	111
Water	46
Strategic Partnership	4
Union Development	4

Distribution per delivery model

Delivery Model	# Projects	% Projects	Budget	% Budget
Generation and direct application of scientific knowledge	33	7%	14,970,080,95	4%
Implementing Agency	47	9%	66,111,643,01	16%
IUCN Thematic Initiatives	132	26%	110,014,988,75	27%
Non-aligned stand-alone projects	31	6%	8,143,369,71	2%
Programmatically aligned single projects	257	51%	204,802,483,86	51%

5.3. ANNEX 3: PROGRAMS/PROJECTS SAMPLE

Global HQ Programmes

Project Name	Dur.	Start	End	Budget (CHF)	Lead Unit	Donor	Business	GEF/GCF	Thematic	Location	Delivery model	Interest
Biodiversity and Protected Area Management – BIOPAMA II P02204	6Y0M	09-06-2017	08-06-2023	50.220.890	Global Protected Areas Programme (HQ)	European Commission DG Dev	NO	NO	Protected Areas & World Heritage	Antigua and Barbuda, Bahamas, Belize, Burkina Faso, Dominican Republic, East and South Africa, Global, Guyana, Jamaica, Oceania, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Trinidad and Tobago	IUCN Thematic Initiatives	<ul style="list-style-type: none"> - Biggest project budget in the portfolio - Cover East and South Africa - Thematic initiative
SOS African wildlife P01937	7Y0M	01-01-2017	31-12-2023	13.727.806	Global Species & Key Biodiversity Areas Programme (HQ)	European Com., EuropeAid Cooperation Office	NO	NO	Species	Angola, East and South Africa, Eritrea, Ethiopia, Niger, Tanzania, United Republic of, West and Central Africa, Zambia	Imp. Agency	<ul style="list-style-type: none"> - Important grant-making initiative - Covers East and South Africa
Strengthening Legal Mechanisms to Combat Illicit Wildlife Trade (Phase 2) P02689	3Y4M	01-11-2017	28-02-2021	229.910	ELC – Programme Support (DE)	GIZ	NO	NO	Env. Law	Global	IUCN Thematic Initiative	<ul style="list-style-type: none"> - Project with the Environmental Law Center
Staying within Sustainable Limits: Advancing leadership of the private sector and cities P03426	2Y0M	07-09-2019	06-09-2021	784631,73	Science and knowledge unit (US)	Conservation International	YES	NO	Science and Economics	Global	Generation and direct application of scientific knowledge	<ul style="list-style-type: none"> - Project with the science and knowledge unit - CI as donor - Business engagement

Building River Dialogue and Governance - Phase 4 P03027	3Y0M	01-01-2019	31-12-2021	5.396.147	Global Water Programme (HQ)	Swiss Agency for Dev.t and Cooperation	NO	NO	Env. Law, Water	Bolivia, Plurinational State of, Cambodia, China, Costa Rica, East and South Africa, Ecuador, El Salvador, Global, Honduras, Kenya, Lao People's Democratic Republic, Malawi, Mozambique, Myanmar, Panama, Peru, Switzerland, Tanzania, United Republic of, Thailand, Uganda, Viet Nam, West and Central Africa, Zimbabwe	IUCN Thematic Initiatives	<ul style="list-style-type: none"> - Covers Costa Rica & Kenya - Global water program - Framework donor - Thematic initiative
Integrated Tiger Habitat Conservation Programme - Phase II P03036	5Y0M	01-01-2019	31-12-2023	8.541.155	Global Species & Key Biodiversity Areas (HQ)	KfW	No	No	Species	Asia, Bangladesh, Bhutan, India, Indonesia, Myanmar, Nepal, Switzerland	IUCN Thematic Initiatives	<ul style="list-style-type: none"> - Asia is not a selected region but evaluation form 2018 available

East and South Africa Regional projects/programs

Project Name	Dur.	Start	End	Budget (CHF)	Lead Unit	Donor	Business	GEF/GCF	Thematic	Location	Delivery model	Interest
Southern African Development Community Transfrontier Conservation Areas (TFCAs) Financing Facility P02979	6Y3M	01-04-2020	30-06-2026	13.032.862	ESARO - South Africa Conservation Areas and Species (ZA)	KfW	NO	NO	Protected Areas & World Heritage, Species	East and South Africa	Imp. agency	<ul style="list-style-type: none"> - Important Budget - Just started so analysis will focus on design
CONNECT - Conserving Natural Capital and Enhancing Collaborative Management of Transboundary Resources in East Africa P02999	4Y0M	08-05-2019	07-05-2023	4.883.653	ESARO - Conservation Areas and Species (KE)	USAID	NO	NO	Species	East and South Africa	Prog.-aligned single projects	<ul style="list-style-type: none"> - Covers East and south Africa - Framework donor

Mexico, Central America and the Caribbean Regional projects/programs

Project Name	Dur.	Start	End	Budget (CHF)	Lead Unit	Donor	Business	GEF/GCF	Thematic	Location	Delivery model	Interest
Programa de Biodiversidad: Enlazando ecosistemas prioritarios en Centroamérica P03237	4Y0M	14-01-2020	13-01-2024	20.438.399	ORMACC - Biodiversit y and Rights (OR)	KfW	No	No	Forests, Governance and Rights, Protected Areas & World Heritage, Science and Economics	Mexico, Central America and the Caribbean	Prog.- aligned single projects	- High Budget - Just started so analysis will focus on design
Fortalecimiento de los derechos de pueblos indígenas y afrodescendientes en Centroamérica (Continuación) P03121.	3Y0M	26-10-2018	28-10-2021	514.793	ORMACC - Biodiversit y and Rights (OR)	Pan Para el Mundo - Servicio Protestant e para el	Yes	No	Governance and Rights	Honduras, Nicaragua, Panama	Prog.- aligned single projects	- It seems that it's a phase 2 so the evaluation of the first phase might be available - Business engagement - Interesting in terms of social inclusion
Regional Coastal Biodiversity Project (RCBP) P02510	5Y0M	18-11-2017	17-11-2022	13.475.581	Forest and Governanc e Unit	USAID	No	No	Business & Biodiversity, Ecosystem Man., Governance and Rights, Protected Areas & World Heritage	El Salvador, Guatemala, Honduras	Prog.- aligned single projects	- High budget
Scaling-up Ecosystem based Adaptation Measures in rural Latin America P03433	0Y5M	28-09-2019	26-02-2020	136.256	ORMACC - Livelihoods and Climate Change (OR)	Bundesmin isterium für Umwelt, Naturschut z und nukl	NO	NO	Business & Biodiversity, Ecosystem Management, Environmental Law, Forests, Water	Costa Rica Guatemala	Prog.- aligned single projects	-
Extractive industries and Indigenous Territories in Central America: Supporting indigenous advocacy agendas P02682	2Y0M	01-01-2018	31-12-2019	385.085	ORMACC - Biodiversit y and Rights (OR)	Ford Foundation (Headquart ers)	NO	NO	Governance and Rights	Guatemala, Honduras	Prog.- aligned single projects	- Indigenous people

European Regional projects/programs

Project Name	Dur.	Start	End	Budget (CHF)	Lead Unit	Donor	Business	GEF/GCF	Thematic	Location	Delivery model	Interest
LIFE4BEST_ORs P03026	3Y0M	01-01-2019	31-12-2021	3.393.495	Global Protected Areas Programme (BE)	AFD, Agence française pour la biodiversité, European Commission, DG Env.	NO	NO	Ecosystem Man., Marine & Polar, Protected Areas & World Heritage, Species	Europe, France, Portugal, Spain	Imp. agency	<ul style="list-style-type: none"> - Important budget for the region - Framework donor - Covers Europe

National projects

Project Name	Dur.	Start	End	Budget (CHF)	Lead Unit	Donor	Business	GEF/GCF	Thematic	Delivery model	Interest
KENYA											
Strengthening Community Engagement in Combatting Illegal Wildlife Trade P02239	2Y3M	23-01-2017	19-04-2019	219.094	ESARO - Conservation Areas and Species (KE)	US Department of the Interior (National Park Service)	NO	NO	Species	Prog.-aligned single projects	- Closed project
Enhancing coastal and marine socio-ecological resilience and biodiversity P02342	4Y0M	01-04-2019	31-03-2023	5514.002	ESARO - Mozambique Programme (MZ)	Bundesministerium für Umwelt, Naturschutz und nukl	NO	NO	Ecosystem Management, Governance and Rights	Prog.-aligned single projects	-
Building climate disaster resilience programme for the restoration of catchment ecosystems and livelihood improvement P02917	2Y0M	01-06-2019	31-05-2021	1.427.492	ESARO - Forests, Landscapes and Livelihoods (KE)	Austrian Development Agency	NO	NO	Ecosystem Management	IUCN Thematic Initiatives	-
RWANDA											
Monitoring of forest and landscape restoration at the national and local levels P02242	3Y0M	03-07-2017	03-07-2020	458.716	ESARO - Forests, Landscapes and Livelihoods (KE)	Bundesministerium für Umwelt, Naturschutz und nukl	NO	NO	Forests	Imp. agency	- Started in 2017

Improving resilience of farmers' livelihoods to climate change through innovative, research proven climate-smart agroforestry and efficient use of tree resources in the Eastern Province and peri-urban areas of Kigali city P02955	6Y0M	01-12-2018	30-12-2024	2.287.968	Forest Landscape Restoration (FLR), ESARO (KE)	European Commission	NO	NO	Forests	Generation and direct application of scientific knowledge	- Generation of knowledge - Long duration (6Y)
Payment for Ecosystem Services (PES) in Rwanda at the national and sub-national scale P02491	0Y10M	08-03-2017	31-12-2017	67.390	ESARO - Forests, Landscapes and Livelihoods (KE)	Conservation International	NO	NO	Business & Biodiversity	IUCN Thematic Initiatives	- Closed - Thematic initiative - Only Business and biodiversity project in Rwanda
COSTA RICA											
Addressing REDD+ through Landscape-Scale Sustainable Commodity Production Models P02693	3Y10M	30-11-2017	24-09-2021	453.832	ORMACC - Forest Governance and Economy Unit (OR)	Verified Carbon Standard Association	NO	NO	Business & Biodiversity, Ecosystem Management, Forests, Water	Prog.-aligned single projects	-
GUATEMALA											
Mejorar la planificación y gestión integral del recurso hídrico en el acuífero del Valle de Guatemala P02912	3Y6M	10-01-2019	10-07-2022	2.570.422	ORMACC - Livelihoods and Climate Change (OR)	Agencia Española de Cooperación Internacional para	NO	NO	Water	Prog.-aligned single projects	-
KOICA: Building livelihood resilience to climate change in the upper basins of Guatemala's highlands P03037	7Y2M	28-10-2019	25-12-2026	4.895.392	ORMACC - Livelihoods and Climate Change (OR)	Korea International Cooperation Agency	NO	NO	Water	Imp. agency	- Framework donor
											-
Proyecto Conservación y Uso Sostenible de la Biodiversidad en Áreas Protegidas Marino Costeras P02777	0Y10M	20-11-2017	20-09-2018	144.407	ORMACC - Livelihoods and Climate Change (OR)	UNDP Other funds	NO	NO	Ecosystem Management, Forests	Prog.-aligned single projects	-

5.4. ANNEX 4: LIST OF DOCUMENTS REVIEWED

IUCN Programme documentation

IUCN. 2012. One Programme Charter

IUCN. 2015. Draft situation analysis

IUCN. 2016. Programme 2017-2020

IUCN. 2016. Financial Plan 2017-2020

IUCN. 2020. Draft Programme 2021-2024

IUCN. 2020. Draft Financial plan 2021-2024.

Corporate documents

Regional Offices:

- IUCN. 2016. European Work Programme 2017-2020
- IUCN ORMACC. 2016. Action plan for implementation of the Global Programme 2017-2020
- IUCN ESARO. 2018. Regional Implementation Plan 2017-2020
- IUCN. Oceania Regional Plan 2017-2020
- IUCN Asia Regional Contribution–Intersessional Programme 2017-2020
- IUCN Central and West Africa (PACO) Intersessional Programme 2017-2020

Thematic Programmes:

- IUCN-Wide Thematic Programmes: Assessment of Scope, Priorities, Programme Alignment and Roles and Responsibilities for each IUCN thematic programme, detailing The Theory of Change, Business lines and alignment to the 2017-2020 IUCN Programme
- IUCN. Joint Work Programme for the IUCN Programme Period 2017-2020 for IUCN Programmes on Protected and conserved areas involving Secretariat, Commissions, members and partners.
- IUCN. 2017. Species Strategic plan 2017-2020
- IUCN. 2017. The IUCN Red List of Threatened Species : Strategic Plan 2017-2020

Commissions:

- IUCN. 2017. Mandate 2017-2020 of the Commission on Education and Communication
- IUCN. 2017. Mandate 2017-2020 of the Species Survival Commission

MAGINNIS. 2017. Project delivery models

IUCN. 2019. Detailed management structure of IUCN global Secretariat

Annual Reports

IUCN Global annual reports 2017 and 2018

IUCN Annual progress reports 2017 and 2018

IUCN. 2020. Draft Annual Progress Report 2019

Regional annual reports:

- IUCN Asia Regional Office Annual reports 2017 and 2018
- IUCN Centre for Mediterranean Cooperation Annual reports 2017 and 2018
- IUCN Eastern Europe and Central Asia Regional Office Annual report 2017
- IUCN European region Annual reports 2017 and 2018
- IUCN Mexico, Central America and the Caribbean Regional Office Annual reports 2017 and 2018
- IUCN Oceania Regional Office Annual report 2017
- IUCN South America Regional Office Annual reports 2017 and 2018
- IUCN West and Central Africa Regional Office Annual report 2018

Thematic annual reports:

- IUCN. 2016-2017 Report of the Species Survival Commission and the Global Species and Key Biodiversity Area Programme

Commissions annual reports:

- IUCN Commission on Education and Communication. 2017. Annual report

Financial data

IUCN. Management reports for the years 2016, 2017, 2018

IUCN. 2017. Commission financial rules

IUCN. 2019. Analysis of the use of Framework funds in Global Programmes

IUCN. 2020. Financial data provided to Review team on March 20th 2020, including 2019 Global core management report, 2019 Global portfolio report, Actual spending by sub-results 2017-2019 and Project spending by Aichi-SDG targets for the years 2017, 2018, 2019.

IUCN. 2020. Finance and Audit Committee of Council. Update on Resource Mobilization

IUCN. 2020. Data sent from the Strategic Partnership Unit to Review team on multi-year contribution from framework partners.

PWC. Reports of the statutory auditor to the Council on the consolidated IUCN financial statement for the years 2015, 2016, 2017 and 2018

IUCN organizational policies, strategies and procedures

Communication

- IUCN. 2018. Social media strategy
- IUCN. 2018. Website strategy
- IUCN. 2019. Corporate communication strategy overview, Draft revision
- IUCN. 2020. Content strategy of the Global communication Unit

Environmental and Social Management System

- IUCN. 2016. Environmental and Social Management System (ESMS) Manual. Version 2.0
- IUCN. 2016. The IUCN ESMS Grievance Mechanism
- IUCN. 2016. Environmental & Social Management System (ESMS). Standard on Biodiversity Conservation and Sustainable Use of Natural Resources (Version 2.0).
- IUCN. 2016. Environmental & Social Management System (ESMS). Standard on Involuntary Resettlement and Access Restrictions (Version 2.0).
- IUCN. 2019. Environmental & Social Management System (ESMS). Standard on Indigenous Peoples
- IUCN. 2019. Environmental & Social Management System (ESMS). Standard on Cultural Heritage
- IUCN. ESMS Summary report 2019.
- IUCN. 2020. ESMS Screening & Clearance Report
- IUCN ESMS webpage: <https://www.iucn.org/resources/project-management-tools/environmental-and-social-management-system>

Policies and strategies

- IUCN. 2004. A guide for the planning and conduct of IUCN Strategic Reviews
- IUCN. 2012. IUCN Business Engagement Strategy
- IUCN. A summary of IUCN's operational guidelines for business engagement
- IUCN. 2013. The IUCN Monitoring and Evaluation Policy
- IUCN. 2017. Natural resource governance framework. Strategy update September 2017
- IUCN. Integrating the application of governance and rights within IUCN's global conservation action
- IUCN. 2018. Gender equality and women's empowerment policy: mainstreaming gender-responsiveness within the IUCN programme of work
- IUCN Gender webpage : <https://www.iucn.org/theme/gender/our-work>
- IUCN. Climate Change bulletins for 2017, 2018 and 2019
- IUCN. 2018. Policy on ERM. Annex 2 to Decision C/94/4
- IUCN. Draft Membership Strategy for IUCN 2020-2030
- IUCN. 2018. GEF/GCF Project Monitoring and Supervision Requirements and Guidance (and Annexes). GEF/GCF Strategy Group
- IUCN. 2018. IUCN service to countries requesting GCF funding. GEF/GCF Strategy Group
- IUCN. 2018. Niche for IUCN in GEF-7. GEF/GCF Strategy Group
- IUCN. 2018. Use of GEF/GCF fees. GEF/GCF Strategy Group

Project Guidelines

- IUCN. 2016. Project Guidelines and Standards - Module 1 Introduction to the Project Guidelines and Standards (Version 2.2)
- IUCN. 2016. Project Guidelines and Standards – Module 2: Project Identification and Conceptualization (Version 2.2) and associated project tools
- IUCN. 2016. Project Guidelines and Standards – Module 3: Project Development (Version 2.2) and associated project tools
- IUCN. 2016. Project Guidelines and Standards – Module 4: Project Implementation and Monitoring (Version 2.2) and associated project tools
- IUCN. 2016. Project Guidelines and Standards – Module 5: Evaluation and Closure (Version 2.2) and associated project tools
- IUCN. 2020. Project Guidelines and Standards. 6. Development project (Version 1.0)
- IUCN. 2020. Project Guidelines and Standards. 7. Service Agreement Project (Version 1.0)

Monitoring and Evaluation

- IUCN. 2019. Managers scorecard
- IUCN. Operational plan 2021-2024 Results Framework
- IUCN. Harmonized project indicators
- IUCN. Example of 6 months progress report of the Ecosystem management Thematic programme
- LOR. 2018. Targets and indicators
- IUCN 2019 Workplan template
- IUCN. 2019. Corporate risk register

Global evaluations

Universalia. 2016. IUCN External review 2015

IUCN. 2017. Management Response to external review 2015

NORAD. 2017. Organizational Review of IUCN

JaLogisch Consulting GmbH. 2019. External Review of IUCN's Development Relevancy, within the IUCN-SDC Framework Agreement 2018-2020, Final inception report

IUCN. 2019. Management Response to the Review of Aspects of IUCN's governance

SGA. 2019. External review of aspects of IUCN's governance

IUCN publications

IUCN. 2017. Highlights 2016. Business and Biodiversity Programme

IUCN. 2017. Bonn Challenge Barometer of Progress: Spotlight Report 2017

IUCN. 2018. Second Bonn Challenge progress report. Application of the Barometer in 2018

IUCN. 2018. The Impact of IUCN Resolutions on conservation efforts

IUCN. 2019. A landscape for everyone

IUCN website : <https://www.iucn.org/about>

IUCN Programme and Project Portal

IUCN 2017-2020 portfolio data extracted for the review team in January 2020

Project documentation (project design, budget, monitoring reports, evaluation reports) from the following projects:

Global HQ programmes:

- Biodiversity and Protected Area Management – BIOPAMA II - P02204
- SOS African wildlife - P01937
- Strengthening Legal Mechanisms to Combat Illicit Wildlife Trade (Phase 2) - P02689
- Staying within Sustainable Limits: Advancing leadership of the private sector and cities - P03426
- Building River Dialogue and Governance (Phase 4) - P03027
- Integrated Tiger Habitat Conservation Programme – (Phase 2) - P0303
- LIFE4BEST - P03026

East and South Africa regional projects/programmes:

- Southern African Development Community Transfrontier Conservation Areas (TFCAs) Financing Facility - P02979
- CONNECT - Conserving Natural Capital and Enhancing Collaborative Management of Transboundary Resources in East Africa - P02999

Mexico, Central America and the Caribbean regional projects/programmes:

- Programa de Biodiversidad: Enlazando ecosistemas prioritarios en Centroamérica - P03237
- Fortalecimiento de los derechos de pueblos indígenas y afrodescendientes en Centroamérica (Continuación)- P03121
- Regional Coastal Biodiversity Project (RCBP) - P02510
- Scaling-up Ecosystem based Adaptation Measures in rural Latin America - P03433
- Extractive industries and Indigenous Territories in Central America: Supporting indigenous advocacy agendas - P02682

National projects in ESARO region:

- Kenya: Strengthening Community Engagement in Combatting Illegal Wildlife Trade - P02239
- Kenya: Enhancing coastal and marine socio-ecological resilience and biodiversity - P02342
- Kenya: Building climate disaster resilience programme for the restoration of catchment ecosystems and livelihood improvement - P02917
- Rwanda: Monitoring of forest and landscape restoration at the national and local levels - P02242
- Rwanda: Improving resilience of farmers' livelihoods to climate change through innovative, research proven climate-smart agroforestry and efficient use of tree resources in the Eastern Province and peri-urban areas of Kigali city - P02955
- Rwanda: Payment for Ecosystem Services (PES) in Rwanda at the national and sub-national scale - P02491

National projects in ORMACC region:

- Costa Rica: Addressing REDD+ through Landscape-Scale Sustainable Commodity Production Models - P02693
- Guatemala: Mejorar la planificación y gestión integral del recurso hídrico en el acuífero del Valle de Guatemala - P02912
- Guatemala: KOICA: Building livelihood resilience to climate change in the upper basins of Guatemala's highlands - P03037
- Guatemala: Proyecto Conservación y Uso Sostenible de la Biodiversidad en Áreas Protegidas Marino Costeras - P02777

External documentation

WWF-US. 2018. Annual report

5.5. ANNEX 5: LIST OF PEOPLE INTERVIEWED

Contact Name	Organisation	Position
Christophe Ducastel	AFD	IUCN focal point
Tomas Andersson	SIDA	IUCN focal point
Trevor Sandwith	IUCN Secretariat	Director Global protected Areas
Ana Nieto	IUCN Secretariat	Head Species Conservation Actions
Stewart Maginnis	IUCN Secretariat	Global Director Nature Based Solutions
James Dalton	IUCN Secretariat	Director Water Programme
Gerard Bos	IUCN Secretariat	Director Global Business & Biodiversity Programme
Radhika Murti	IUCN Secretariat	Director Global Ecosystem Management
Minna Epps	IUCN Secretariat	Director Global Marine & Polar Programme
Cyrie Sendashonga	IUCN Secretariat	Global Director Programme & Policy
Tom Brooks	IUCN Secretariat	Chief Scientist
Sandeep Sengupta	IUCN Secretariat	Global Coord. Climate change portfolio
Lucy Deram-Rollason	IUCN Secretariat	Director strategic partnership unit
Ricardo Tejada	IUCN Secretariat	Director Global Comms
Charles Lor	IUCN Secretariat	Head PMER
Megan Cartin	IUCN Secretariat	Portal Project Manager
Eric Martrou	IUCN Secretariat	Risk & Accountability Officer
Sheila Aggarwal	IUCN Secretariat	Director (based in Nairobi)
Sebastien Delahaye	IUCN Secretariat	Portfolio Manager
Linda Klare	IUCN Secretariat	ESMS Coordinator
Enrique Lahman	IUCN Secretariat	Global Director
Mike Davies	IUCN Secretariat	Chief Financial Officer
Sean Southey	IUCN Secretariat	Commission on Education & Communication
Angela Andrade	IUCN Secretariat	Commission on Ecosystem Management
Jon Paul Rodriguez	IUCN Secretariat	Species Survival Commission
Antonio Benjamin	IUCN Secretariat	World Commission on Environmental Law
Luc Bas	IUCN Secretariat	Director

T.P. Singh	IUCN Secretariat	Deputy Regional Director
Frank Hawkins	IUCN Secretariat	Director
Jenny Springer	IUCN Secretariat	Director Global Governance & Rights
Ali Rizvi	IUCN Secretariat	Programme Manager Ecosystem based Adaptation
Juha Sikamaki	IUCN Secretariat	Chief Economist
Cate Owren	IUCN Secretariat	Senior Gender Programme Manager
Andrea Athanas	AWF	IUCN Member, Switzerland
Luther Anukur	IUCN Secretariat	Regional Director
Charles Oluchina	IUCN Secretariat	Regional Programme Coordinator
Edwin Wanyonyi	Kenya Wildlife Service	Director, Strategy and Change
Niokabi Gitahi	AFD Kenya	Programme Officer
Sophie Kutegeka	IUCN Secretariat	Director Uganda office
Lazarus Mapfundematsva	IUCN Secretariat	Regional Head of Finance and Administration
Dr. Margaret Otieno	Wildlife Clubs of Kenya	IUCN member, Kenya
Ian Craig	Northern Rangeland Trust (NRT)	Director of Conservation
Leo Niskanen	IUCN Secretariat	Regional Technical Coordinator, Conservation Areas and Species Programme
Francis Musau	IUCN Secretariat	M&E manager
Thomas Sberna	IUCN Secretariat	Regional Technical Coordinator – Coastal and Ocean Resilience
Sam Kanyamibwa	ARCOS	IUCN Member, Rwanda
JP Mugabo	Ministry of Environment	Rwanda forest authority
Charles Karangwa	IUCN Secretariat	IUCN Rwanda country office
Alain Ndoli	IUCN Secretariat	IUCN Rwanda national office
Viviana Sanchez	IUCN Secretariat	Regional Director Ad Interim
Tania Ammour	IUCN Secretariat	Regional Programme Manager
Maria Pia Hernandez	IUCN Secretariat	Regional Project Portfolio Manager
Adalberto Padilla	IUCN Secretariat	IUCN Representative, Honduras

Zulma Mendoza	IUCN Secretariat	Chief of Party, Regional Coastal Biodiversity Project
Tony Nello	IUCN Secretariat	Project Manager
Carlos Manuel Rodríguez	Ministry of Environment and Energy of Costa Rica	IUCN Member, National Government
Mario Piedra	FUNDECOR	IUCN Member, Costa Rica
Miguel Cifuentes	CATIE	IUCN Member, Costa Rica
Nadya Recinos	IUCN Secretariat	Project Coordinator
Judith Beyeler	IUCN Secretariat	Project Coordinator
Orsibal Ramirez	IUCN Secretariat	Water Governance Specialist,
Ramiro Batzin	Sotz'il	Indigenous Peoples Organization Member of IUCN, Guatemala
Oscar Nuñez	Defensores de la Naturaleza	IUCN Member, Guatemala
Jimmy Ivan Chub Leal	The Nature Conservancy of Guatemala	IUCN Member, International-level NGO



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