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**A REVIEW OF IUCN's ROLE AND WORK REGARDING BIODIVERSITY**

**A REPORT FOR SIDA**

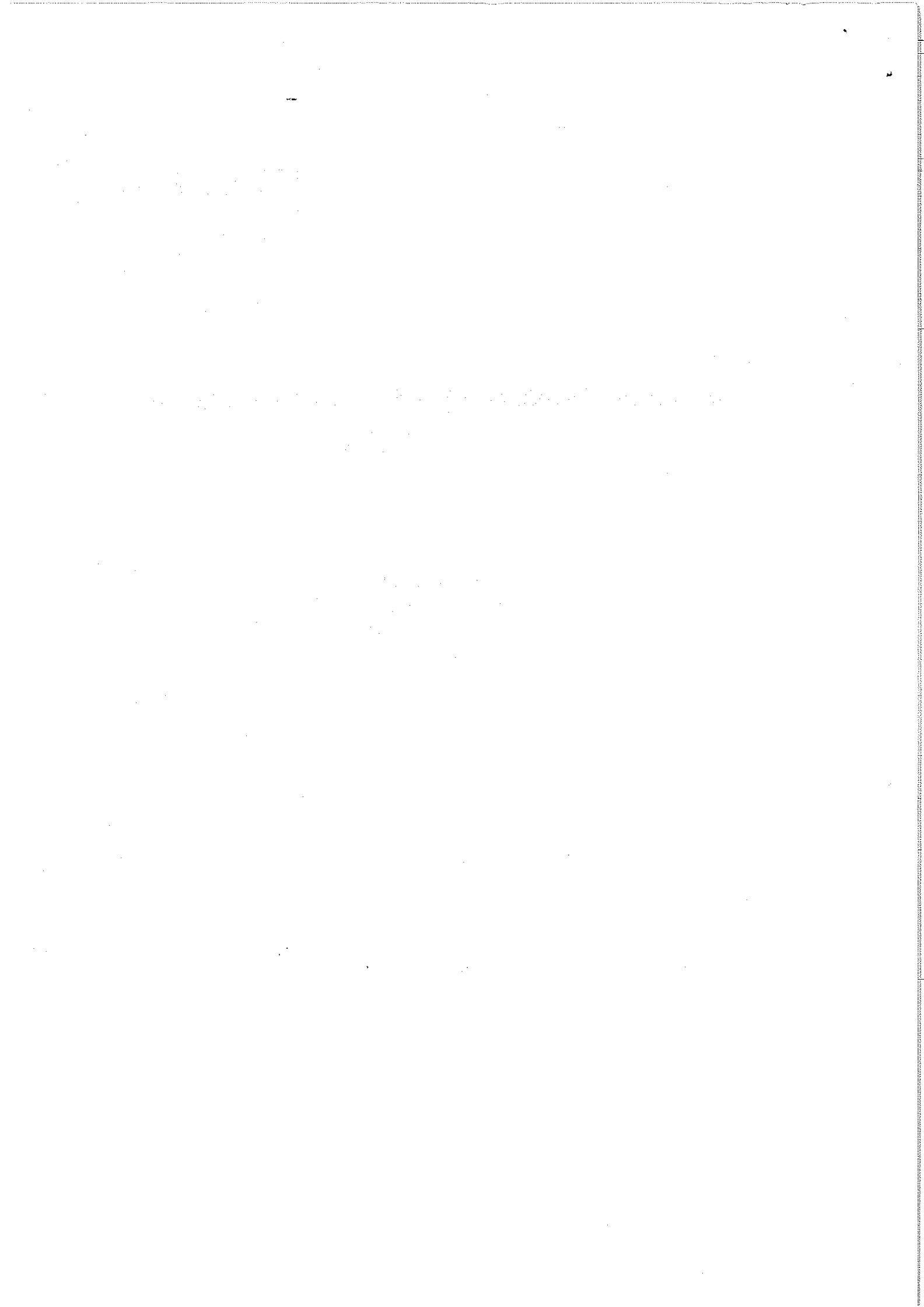
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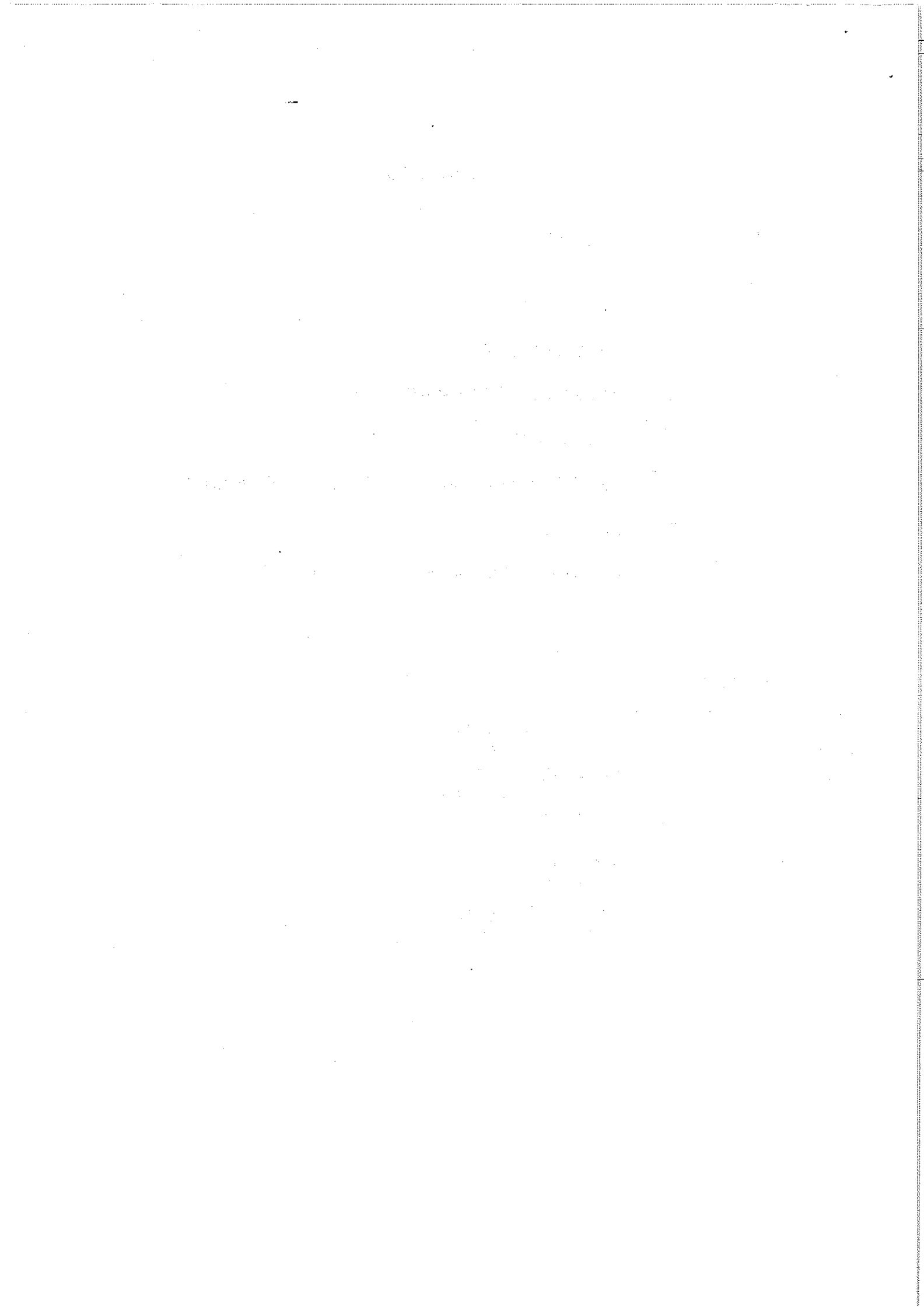
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## SUMMARY

### **THE REVIEW**

1. The review was carried out by three independent consultants during the period June-August 1997. It had two main objectives :

- to analyse how biodiversity issues have been and are being addressed in general within IUCN;
- to assess the relevance, effectiveness, impact and sustainability of IUCN's biodiversity work in the areas of particular interest to Sida.

2. The size, diversity and complexity of IUCN, coupled with the very limited availability of information on effectiveness and impact, made it impossible to carry out the TORs as originally envisaged. The result is a review that is largely based on consultations with the secretariat, and on available IUCN documentation. Short visits were made to Gland, Washington, Costa Rica and Niger. It was not possible to consult systematically with the commissions, membership or users in the time available.

### **SIDA AND IUCN**

3. Sida began providing general framework support to IUCN in 1992 . The bulk of the Sida funds (87%) are for General Programme (GP) support. GP funds can be used by IUCN to finance any programme component apart from statutory activities. In the period 1994-96 Sida contributed 13% of IUCN's total income, and provided 58% of GP funds. This makes Sida a very significant and valuable donor.

4. IUCN and Sida have overlapping, rather than identical, objectives. The main rationale for Sida support is that environmental issues and problems of direct relevance to developing countries are a major focus of the IUCN 1997-99 Triennial Programme. Support for IUCN is therefore seen as contributing to environmental protection in developing countries, which is one of Sweden's six development objectives. Biodiversity is not specifically mentioned within the Sida/IUCN agreement.

5. The Sida contribution is intended to assist IUCN to achieve its overall objectives and to implement the 1997-99 programme with regard to environmental issues in developing countries. However, the triennial programme lacks specific and precise objectives or clear indicators of achievement. It provides a very weak framework for the Sida/IUCN agreement.

## IUCN AND BIODIVERSITY

6. The origins of IUCN are in traditional forms of nature conservation, notably the protection of threatened ecosystems and species. Much of the accumulated experience of the organisation is in those fields. A majority of the several thousand members in IUCN Commissions are experts in either specific species or in protected area management.

7. More recently, IUCN has moved towards a wider understanding of conservation. This has involved a recognition of the importance of sustainable use, and an incorporation of legal, political, social and economic aspects into the predominantly natural science framework. Beginning in the 1980s, IUCN has also rapidly expanded into field activities in developing countries, which now comprise well over half of the total budget.

8. Since the inception of the Convention on Biological Diversity, the concept of biodiversity is increasingly used by IUCN to describe the overall focus of the organisation. A review of IUCN and biodiversity is thus effectively a review of IUCN as a whole.

9. However, this shift does not correspond with any major change in policy or programme. It would appear that, for IUCN, the term 'biodiversity' largely seems to be a new and more convenient term for what was earlier referred to as 'nature and natural resources'. IUCN has developed more by adding new programmes to its traditional strengths, rather than changing its existing programmes. The result is an extremely wide and diverse, but often poorly integrated, programme of work. More developmentally-orientated approaches coexist alongside the more traditional science-based approaches, with sometimes limited interaction between the two.

## RELEVANCE

10. The relevance of IUCN activities can be assessed at three levels : Sida-funded activities; GP funded activities; and IUCN activities as a whole.

11. It is not possible to assess the relevance of Sida-funded activities *per se*. The Sida contribution to GP funds is not accounted separately. This should be possible and is certainly desirable. As this has not been done so far, the reviewers are unable to assess whether Sida funds have been used in accordance with the Sida/IUCN Agreement and with Sida guidelines.

12. The relevance of GP funded activities may be considered a reasonable, if inadequate, approximation for Sida funds. However, no separate report of GP expenditure was available to the reviewers, nor is such a report provided to (or requested by) Sida. Only GP expenditure by programme is available.

13. The Sida/IUCN Agreement states that GP funds should be used for activities 'of direct relevance to developing countries'. No definition of 'direct relevance' is given, nor has IUCN been required to report against this requirement. The reviewers judge that the bulk of GP and IUCN activities are relevant to environmental issues both in developed and developing countries. Whether they are 'directly relevant' to developing countries more specifically depends crucially on the definition used. Both Sida and IUCN appear to have used a wide and generous interpretation.

14. The Sida Biodiversity Guidelines indicate a general focus on sustainable livelihoods for the poor, and specifically on three areas : semi-natural production landscapes rather than protected wildlands; biodiversity of direct benefit to poor people; and the promotion of local control and management.

15. The following tests of relevance were considered for GP and IUCN activities : direct relevance to developing countries; relevance to the Sida Biodiversity Guidelines; and relevance to other Sida Guidelines.

16. IUCN does not have a management information system which can be used to assess expenditure and relevance across programmes. A subjective and partial assessment suggests that regional programmes are broadly consistent with the Sida Guidelines. However, these programmes are largely funded by other donors. GP funds comprise only 3% of regional expenditure. Regions are allocated 25 % of GP funds.

17. The relevance of HQ-based programmes is more difficult to assess. These programmes (including the Conservation Network Directorate) are allocated 63% of GP funds, and are much more dependent on these funds than are the regions. Discussions with the secretariat indicate an increasing focus on the areas identified in the guidelines, as well as a healthy debate within IUCN over the direction of the institution. The reviewers conclude the relevance of the HQ-based programmes varies considerably, but are in general much less directly Sida-relevant than the regional programmes.

18. The overall picture reveals an uneven fit between the use of GP funds and Sida priorities. The most relevant programmes do not necessarily receive the largest allocations, while very significant amounts are allocated to the less relevant programmes.

19. IUCN do not accept that such an analysis based on GP funds alone is valid, because of the close relationship between GP and Unrestricted expenditure. The reviewers disagree. It should, however, be stressed that the fact that some areas of IUCNs work are identified as less relevant to Sida does not mean that they are irrelevant, or that they make no contribution to sustainable development. It merely reflects a judgement that some areas are more directly relevant than others. IUCN accepts this, and intends to refocus the overall programme to contribute more effectively to the needs of members and donors.

## **EFFECTIVENESS, IMPACT AND SUSTAINABILITY**

20. This review cannot quantify or measure the effectiveness or impact of IUCN's work. Currently, neither can IUCN itself. The unclear and inconsistent presentation of documentation relating to programme objectives, programme coherence, programme outputs and measurable indicators of success for the period 1994-1996 is a fundamental shortcoming. This review cannot be an evaluation for these reasons.

### **HQ programmes :**

21. The reviewers can only present their impressions based on limited observations and discussions in HQ, and feedback from ORMA and BRAO on HQ-RCO links. Very little evaluation material is available.

22. HQ programmes perform three main functions : support for regions; support for commissions; and research, information and analysis for policy development. RCOs need and request strong HQ support. In some cases this is highly effective, but in others it not always forthcoming, either due to lack of resources or to lack of transparency in HQ programming. In some cases - such as Biodiversity Policy - limited effort appears to be made to involve the regions or other programmes. HQ programmes also provide effective support to the Commissions. The impact of the Commissions themselves could not be ascertained. The third arm of HQ work - research, information and policy development - is generally of high quality, and maintains the international status of IUCN. Its relevance (to SIDA) and impact (on biodiversity conservation) is uncertain. Much better monitoring and evaluation information is required to validate these impressions.

### **Regional programmes :**

23. On the basis of limited observations and discussions, in one country in each region (Niger for BRAO; Costa Rica for ORMA), IUCN operations would appear to be effective in creating awareness and change, in establishing strategic planning frameworks and collaborative partnerships, and in using demonstration projects to influence wider change in policy and practice. There are also indications that IUCN's work is having a positive impact on institutions at different levels (central and local government, NGO, village), and is strengthening their capacity to tackle the conservation of biodiversity.

24. The reviewers cannot assess whether similar processes are being developed in other countries; the scale of these impacts relative to the problems being addressed; the attribution of such impacts to IUCN as opposed to other agents of change; the degree to which change in key government agencies is sufficiently



deep to deliver improvements on the ground (as opposed simply to rhetoric, or to dependence on a few key but transient individuals); or the degree to which successful experiences are being replicated without further impetus from IUCN.

25. The overall indications are nevertheless positive. A limited and subjective assessment of two IUCN regional programmes indicate these are of good quality and are likely to be effective. In some cases positive impact is evident, as are many of the building blocks for sustainability, notably high quality processes and capacity building through provision of information, training and technical assistance. These building blocks are, however, necessary but not sufficient to sustain institutional change.

26. The overall quality of secretariat staff is very high. However, problems of programme management, communication, organisation, and integration within IUCN are evident. Horizontal integration between HQ programmes, and between regions, is often poor.

27. If judging the effectiveness and impact of IUCN programmes as a whole is difficult, doing so for GP expenditure or the Sida contribution is impossible. There are clear indications that the direct relevance and developmental impact of GP funded programmes is very variable. Beyond that, it is simply not possible to say what additional or incremental activities have been funded by the Sida contribution; whether these have been effective; or what the impact has been. IUCN argue that Sida support has permitted an expansion in the regional programmes, the development of work on sustainable use of species and ecosystems, and increased efforts to address the social dimensions of its programmes. IUCN did not provide reports or evidence to support this argument (section 5.5).

## **PROGRAMME MANAGEMENT**

28. The review has revealed considerable difficulties in assessing the relevance, effectiveness and impact of Sida, GP and IUCN funds. The problems associated with this stem mostly from weaknesses in programme management. Although this is well recognised in some sections of IUCN - and steps are in place to address some of these issues - these are problems which require action. The next Sida/IUCN Agreement should be seen as one means of achieving more rapid progress in this area.

29. The tripartite structure of IUCN (members, commissions, and secretariat) does make programming and priority setting more difficult. However, this does not explain the lack of clear and monitorable objectives at the programme, intermediate, or IUCN level. The use of Logical Frameworks is neither widespread nor systematic.

30. The allocation and expenditure of GP funds is not transparent. More generally, it is not possible for IUCN to report on expenditure by location and activity

type, other than by programme. The current financial marker system is inadequate for accountability.

31. The absence of an effective monitoring and evaluation system has been noted in the past two external reviews. Some progress has been made in developing and testing an evaluation system, but this has yet to have an obvious impact. Improved objectives, outputs and indicators, together with the effective use of Logical Frameworks, represent essential first steps.

## CONCLUSIONS

32. Sida provides funds to IUCN in order to promote environmental protection in developing countries, and in a way that is consistent with its policies and guidelines. Much of what IUCN as a whole does is relevant to developing countries, and is consistent with Sida's biodiversity and other guidelines. A qualitative assessment indicates that IUCN's programmes are mostly of good quality, and its staff of high calibre.

33. However, much of IUCN's work is project and programme funded by other donors. The reviewers are much less certain about the relevance, effectiveness and developmental impact of General Programme and Sida funds as currently allocated by IUCN.

34. It is impossible to assess whether Sida funds have been spent on programmes that are directly relevant to developing countries and in a way that is consistent with Sida Guidelines. Accountability demands that IUCN can demonstrate how Sida (and other donor) GP funds are spent. The fact that these are development funds provided to an organisation which is not primarily a development institution makes this doubly important.

35. A subjective and partial assessment suggests that **regional programmes** are broadly consistent with the Sida Guidelines. However, these programmes are largely funded by donors other than Sida. **HQ programmes** are much more dependent on GP funds than are the regions. The relevance of the HQ-based programmes varies considerably, but are in general much less directly Sida-relevant than the regional programmes. The overall conclusion is that there is an uneven fit between the use of GP funds and Sida priorities.

36. The reviewers conclude that the effectiveness and impact of **HQ programmes** is variable. Some programmes are both high quality and useful to the Regions. Others are perceived to be less so. Much better monitoring and evaluation information is required to validate these impressions.

37. A limited and subjective assessment of two IUCN **regional programmes** indicate these are of good quality and are likely to be effective. In some cases

positive impact is evident, as are many of the building blocks for sustainability, notably high quality processes and capacity building through provision of information, training and technical assistance. The reviewers cannot assess whether similar processes are being developed in other countries; the scale of these impacts relative to the problems being addressed; or the attribution of such impacts to IUCN as opposed to other agents of change.

38. It is not possible to say with any certainty what additional activities have been funded by the Sida contribution, or whether these have been effective. Anecdotal examples of activities made possible with Sida GP support are no substitute for proper reporting. It follows that the reviewers are not able to judge the impact (attributable change) of Sida support.

39. These reservations should not obscure the important conclusion of the review, which is that IUCN deserves continued Sida support. Much of IUCN's programme is of high quality and is consistent with Sida's objectives and policies.

### **Implications for Sida**

40. The reviewers were asked to produce a report for Sida on the relevance and performance of IUCN's biodiversity work. The fact that these questions have been so difficult to answer has significant implications for future Sida support to IUCN. The most important of these relate to improvements in Project Cycle Management, including monitoring and evaluation, within IUCN.

41. The reviewers are not in a position to recommend specific changes in IUCN's biodiversity programmes. Those within IUCN are the best qualified to judge the technical direction, balance and content of the programmes.

42. Specific programme stipulations would also run counter to the spirit of the Sida support for IUCN. Sida cannot provide GP support and then require that it is spent in particular ways. No recommendations relating to the technical content and balance of activities supported by Sida have therefore been made by the reviewers.

43. The reviewers were asked by Sida to provide recommendations which could be used in drafting the new IUCN/Sida Agreement. The recommendations which follow concentrate on ways of improving the focus, management and accountability of the Sida support, and for assisting the process of institutional change within IUCN. This is likely to require a greater programme advisory input from Sida in order to clarify Sida's requirements and to engage with IUCN in the process of redefining Sida support over the period of the Agreement.

44. The reviewers are not proposing a shift from GP support. However, the use of such funds needs to be more transparent, accountable, and monitorable. Immediate improvements in the allocation and monitoring of GP funds should be a

condition for continued Sida support. IUCN argue that this would conflict with the very purpose of GP funding, which is to support the IUCN Programme as a whole. The reviewers do not agree.

45. The guiding principle for Sida support should be that it is used to assist IUCN to become more effective, to change, and to innovate, not merely to fill financial gaps in existing programmes and processes on a continuing basis. Recent proposals for IUCN to work to a small number of integrated, thematic goals (intermediate between the mission statement and the programmes) are a positive development. Sida funds could be support a shift to more integrated, thematic programming, and should assist the process of institutional change within IUCN.

## **RECOMMENDATIONS TO SIDA**

1. Sida should continue to provide General Programme funds to IUCN in order to support biodiversity activities and programmes which contribute directly to the objective of developing sustainable livelihoods for the poor in developing countries.

2. The new Agreement with IUCN needs to contain clear objectives and monitorable indicators of achievement. Any stipulations must be similarly precise and monitorable.

3. Sida GP support should be provided on the following conditions :

- IUCN should draw up proposals, for discussion with Sida, for improving the process by which GP funds are allocated between and within HQ and RCOs.
- IUCN should report separately and in detail on GP expenditure. The content of this report should be agreed with Sida (and other GP donors).
- a plan for improving Project Cycle Management within IUCN should be prepared by IUCN for discussion with Sida.
- a monitoring and evaluation plan should be prepared by IUCN for discussion with Sida.
- a hierarchy of Logical Frameworks (IUCN, thematic goals, and programmes) should be prepared by IUCN for discussion with Sida.

4. The 1998-2000 Agreement should include clear timetables, targets and intermediate indicators (milestones) the above conditions. Progress against these should be jointly monitored by Sida and IUCN.

5. Sida should increase the management and advisory inputs associated with the IUCN programme. At the very minimum this should include a mid-term review of the 1998-2000 Agreement.

## **1. INTRODUCTION**

Sida provides considerable financial support to IUCN, amounting to SEK 30 million (SFr. 6 million) of basically unrestricted programme support during 1997. A new 3 year agreement for the period 1998-2000 is under negotiation with IUCN.

In 1996 IUCN commissioned - with the support from donors including Sida - an independent review of the 1994-1996 triennial period (Christoffersen et al, 1996). To complement this review, and the ongoing advisory support provided by Sida's technical adviser, Sida decided to undertake a review of IUCN's role and work regarding the biodiversity issues of particular interest to Sida. These are identified in the 'Guidelines for Sida support for the sustainable use and conservation of biodiversity' (Sida, 1994).

The review was carried out by three independent consultants during the period June-August 1997. It had two main objectives :

- to analyse how biodiversity issues have been and are being addressed in general within IUCN;
- to assess the relevance, effectiveness, impact and sustainability of IUCN's biodiversity work in the areas of particular interest to Sida.

Terms of Reference for the review are contained in Annex A. The reviewers' CV's are in Annex B. Lists of people consulted, documents consulted, and the itinerary are in Annexes C, D and E respectively.

### **The review process**

Draft Terms of Reference (ToR) were drawn up by Sida. Two of the consultants then discussed these ToR with the IUCN secretariat in Gland. Discussion centred on whether the review should and could be an 'evaluation' in the strict sense, and on the approach to the task. IUCN were concerned that the team would not be able to carry out the ToR in the time available : a review of biodiversity was effectively a review of IUCN. The ToR were further discussed with Sida and IUCN in Stockholm in June 1997. It was agreed that the review could not review all IUCN's biodiversity activities; that it would concentrate on assessing the relevance of IUCN activities in relation to the Sida Biodiversity Guidelines; that the review team should visit more than one region; and that a third consultant would be added to the review team.

The review team consisting of an environmental economist, agricultural biodiversity specialist, and ecologist visited Gland in July for three days of discussion with HQ staff. A workshop was held with the secretariat to explore the relevance criteria. Arrangements for visits to Meso-America and West Africa were made at this time.

Short visits were made to meet secretariat staff in Washington DC (2 days), Costa Rica (3 days), and Niger (3 days) in July and August. Some meetings were also held with IUCN partners, but it was not possible to consult systematically or extensively with the commissions, membership or users in the limited time available. No survey of these groups was carried out as had been intended.

### **Limitations of the review**

IUCN's concerns that the review was over-ambitious proved to be correct. Two main factors made it impossible to carry out the ToR as originally intended. First, as biodiversity is part and parcel of most IUCN activities, it was simply not possible to review IUCN's role and work in the time available.

Second, the availability of existing information on effectiveness and impact was far more limited than had been realised. Sida's original intention was that this exercise should be more of a 'review of reviews' than an original review in its own right. The lack of reliable internal or external evaluation material meant that this was unrealistic. Unless and until IUCN has clear objectives and indicators, and an effective and comprehensive internal monitoring and evaluation system, the scope for effective external reviews of this type is limited.

With the benefit of hindsight, it is clear that the expectations of what this review could achieve were unrealistic. Each of the consultants had approximately 7 - 12 days, in addition to the visits, for preparation, documentation review, analysis and reporting. This is little more than is normally allowed for a mid-term review of a single donor-funded field project in a single country.

The result is an inevitably superficial review that is heavily based on discussions with the IUCN secretariat and on available documentation. It is not a detailed or adequate technical review of IUCN's biodiversity work.

## 2. SIDA AND IUCN

### 2.1 Background

Sida began providing general framework support to IUCN in 1992. Before this Sida had been supporting a large number of separate IUCN projects and programmes. Table 1 below summarises the Sida contribution over the period 1994-97. The current Sida/IUCN Agreement provides for up SEK 30 million during 1997.

**Table 1** : Sida General Programme (GP) and total contribution, 1994-97 (SFr.'000)

	Sida GP	IUCN total GP	GP % Sida	Other Sida	Sida total	IUCN total	Total % Sida
1994	4,552	7,979	57 %	1,795	6,346	54,435	12 %
1995	4,485	7,448	60 %	1,295	5,780	59,408	10 %
1996	5,007	8,584	58 %	1,249	6,256	57,311	11 %
1997	4,940	9,128	54 %	1,298	6,238	62,791	10 %

The significance of Sida support for IUCN is twofold. First, with a total contribution equivalent to around 10% of IUCN's total income, Sida is the second largest donor. Second, and more importantly, the bulk of the Sida funds (87%) are for General Programme (GP) support. GP funds can be used by IUCN to finance any programme component apart from statutory activities, and are seen by IUCN as the most valuable type of contribution. In the period 1994-96 Sida provided 58% of GP funds.

It follows from this that IUCN is significantly dependent on Sida financial support. Sida is funding a significant proportion of the recurrent costs of ongoing programmes: almost 20% for HQ programmes as a whole, and almost 30% for the Protected Areas Group (see Annex F). This is not a safe or sustainable position in the medium term.

### 2.2 Sida/IUCN Agreement

IUCN and Sida have overlapping, rather than identical, objectives. The Sida contribution is intended to assist IUCN to achieve its overall objectives and to implement the 1997-99 programme with regard to environmental issues in developing countries. However, a major problem for Sida is the lack of specific and precise objectives or clear indicators of achievement within the triennial programme. There is, for example, no logical framework. The IUCN triennial programme provides a weak and uncertain basis for the Sida/IUCN agreement for this reason. The

absence of clear objectives and indicators makes it extremely difficult for IUCN and Sida to assess the effectiveness of the Sida support or to judge how much progress has been made.

The rationale for Sida support to IUCN is not clearly stated in the 1997 Agreement. This is usual practice within Sida. The inferred justification is that the promotion of the sustainable use of natural resources and the protection of the environment is one of the objectives of Swedish development assistance. Environmental issues and problems of direct relevance to developing countries are a major focus of IUCN 1997-99 triennial. It may therefore reasonably be assumed that support for the IUCN programme will contribute to Swedish development objectives. Biodiversity is not specifically mentioned within the Sida/IUCN agreement.

The case for providing General Programme support is not given in the Agreement. The advantages for IUCN are that, unlike project or programme-specific funds, GP support gives IUCN flexibility, and the freedom to set its own long-term priorities. IUCN says that it allows them to be innovative, but provides little evidence to support this. It also reduces the extent to which IUCN is donor-driven. General Programme support is extremely valuable to IUCN for these reasons. The advantages for Sida are the limited management and administrative overheads, and the potential for influencing IUCN policy by virtue of its role as a very significant funding partner. The limited management inputs are not without a cost.

### **2.3 Reporting and monitoring**

The 1997 Sida/IUCN Agreement requires that IUCN provide an Annual Progress Report for the 1996 calendar year. This 'Progress and Assessment Report' was produced by IUCN in March 1997 for all its funding partners (see 5.2). Audited accounts for 1996 were distributed separately. Sida was not provided with any special reports over and above normal, although IUCN have reiterated that it is willing to do so if requested.

IUCN have not been requested by Sida to provide specific information on the use of the financial resources provided by Sweden. IUCN are not required to report how Sida funds per se have been spent, nor to report on adherence to the provisions guiding the utilisation of the Swedish contribution (see 4.1.3).

General Programme (GP) funds are a close approximation to Sida funds (see 4.1.2). However, no specific report on the expenditure of these funds is produced by IUCN. IUCN was unable to provide the reviewers with information on GP expenditure by programme for 1994-96, nor was information available on how these funds have been spent within programmes. The fact that this information has never been requested by Sida, and that IUCN cannot provide it, is a matter of concern. The need for accountability should ensure that IUCN can and does report on how GP funds provided by Sida and other donors are spent.



The Sida approach to monitoring the IUCN programme is deliberately low input. One consultant from Swedforest provides advisory support to Sida, but otherwise there are no requirements for external monitoring. This present review is unusual in this respect.

### 3. IUCN AND BIODIVERSITY

This section aims to give a factual overview of IUCN and biodiversity. An assessment of the relevance of the programme is contained in section 4. Its effectiveness, impact and sustainability is discussed in section 5.

#### 3.1 IUCN

The structure of IUCN is complex and unusual in several respects. As a membership organisation, it is unusual by admitting both governmental bodies and non-governmental organisations. At present, there are some 70 'state members' (typically represented by the environment ministry), some 100 government agency members, and some 670 NGO members. To a state, membership in principle carries the implications of membership in an intergovernmental organisation, although in practice not all state members seem to attach the same weight to IUCN proceedings as to those of, say, a UN organisation.

State membership is dominated by Western European and African states, between them accounting for 2/3 of state members. Government agency membership is more evenly distributed. One half of NGO membership is in industrialised countries, and particularly strong in the USA, which alone accounts for 10 percent of global members. However, members are present in a large proportion of developing world nations, especially in South America and in Africa.

The members, by mediation of the triennial World Conservation Congress and the twice-yearly Council, command a Secretariat which is the main programme-executing body of IUCN.

The Secretariat staff is distributed over more than 40 offices worldwide. There are regional programmes, implemented with a large degree of independence by regional offices. There are also global programmes, implemented mainly from Headquarters in Gland, but including also many components handled by staff in regional or country offices. The Washington DC office is a notable example.

In addition, there are six extensive voluntary networks, called Commissions, and mainly comprised of conservation scientists, which provide additional expertise and cooperate closely with some Secretariat programmes. Total Commission membership is around 8 500, of which 80 percent in the Species Survival Commission and 10 percent in the Protected Areas Commission.

As already noted, this review has for practical reasons concentrated almost exclusively on the work of the Secretariat.

### 3.2 General mission, strategy and objectives

The IUCN Mission is clearly stated in a 1994 General Assembly decision:

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.

However, on levels below this general statement, there is no consistent overall strategy formulation or objective setting. The latest formally adopted strategy document, from the Buenos Aires General Assembly in 1994, is apparently not used. The section on objectives in the present Triennial Programme (1997-1999) contains four 'primary goals', five 'basic activities', seven 'objectives', six 'strategies', and twelve 'priorities'. Some of these are obviously misnomers, and all lack a formal structure (such as a logical framework). At present the logic of the relationship between the 'goals', 'objectives', 'strategies', 'priorities' and 'activities' is impossible to make out.

In summary, IUCN's present strategy and objectives are at best unclear. This problem is discussed further in section 6 below (Programme Management Issues).

### 3.3 Biodiversity strategy and objectives

There is no separate IUCN strategy or objectives relating to biodiversity *per se*. However, as 'nature' may reasonably be interpreted as 'biodiversity', this is not necessarily a failing. Some individual programmes and projects do have specific biodiversity objectives, which sometimes refer back to overall IUCN policy, but usually in very general language similar to that in the Mission statement.

It is unclear what IUCN understands by the term biodiversity. While it is increasingly used to describe the overall focus of the organisation, especially since the inception of the Biodiversity Convention, the review team finds little evidence that this shift in language corresponds to any substantial shift in policy or programme. It simply appears that what was earlier referred to as 'nature' and/or 'natural resources' (as in 'International Union for the Conservation of Nature and Natural Resources') is now referred to as 'biodiversity'. "Biodiversity is what IUCN does"; and "everything we do is BD related", were two of the statements made by secretariat staff.<sup>1</sup>

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<sup>1</sup> IUCN disagree with this interpretation. IUCN has developed and promoted a broader approach to biodiversity, one that covers not only conservation, but also the sustainable use and equity aspects involved in the distribution of benefits derived from the use of biological resources. IUCN argue that this is both a clear and significant departure from earlier approaches, and also means that IUCN's programme is much closer to Sida's priorities than implied by this review.

If this is correct, the fact that the recent Montreal Congress affirmed "biodiversity as the primary goal of the Union" reads more as a restatement than as a revolution. If the intention had been otherwise, a revision of the Mission statement would have seemed inevitable, as it does not even mention the word biodiversity.

Similarly, as biodiversity is what IUCN does, the distinction between **biodiversity** strategy and objectives, and IUCN's **general** strategy and objectives, becomes redundant. This has important implications for this review. If everything IUCN does is related to biodiversity, which is a reasonable view, a review of IUCN and biodiversity effectively becomes a review of IUCN as a whole. This explains why a focus on biodiversity *per se* has been so difficult, and why the review has had to address general issues.

### **3.4 IUCN biodiversity activities**

#### **3.4.1 *Origins and development***

The origins of IUCN are in traditional forms of nature conservation, notably the protection of ecosystems. Threatened species and national parks became major areas of emphasis. Much of the accumulated experience of the organisation is in those fields. A majority of the several thousand members in IUCN Commissions are experts in either specific species or in protected area management.

More recently, IUCN has moved towards a wider understanding of conservation. This has involved a partial shift from a species to an ecosystem approach, acknowledging the importance of sustainable use, and incorporating legal, political, social and economic aspects into the predominantly natural science framework. Beginning in the 1980s, IUCN has also rapidly expanded into field activities in developing countries, which now comprise well over half of the total budget.

However, IUCN has developed more by adding new components to its traditional strengths, than by changing or reconsidering its existing programmes. The result is an extremely wide and diverse, but often poorly integrated, array of activities. More developmentally-orientated approaches coexist alongside the more traditional science-based approaches, with limited interaction between the two.

#### **3.4.2 *Current activities and roles***

It follows from the discussion above that a description of IUCN's biodiversity activities is more or less synonymous with a description of IUCN. All programmes, to a greater or lesser extent, directly or indirectly, can be said to contribute to the conservation and sustainable use of biodiversity.

Most reports are structured in terms of the thematic or regional programmes as defined in the budget. A summary of expenditure by programme is contained in

Annex F. However, such a breakdown is not particularly informative. For example, work on forest conservation, sustainable use or biodiversity policy are not confined to the programmes with these titles. Most of the regional programmes also include work in these areas.

IUCN management information system does allow for a categorisation of expenditure by 'themes' : arid land, birds, CNPPA, communications, etc.. However, this does not appear to be in use, and no reports were available for the review team. The only attempt at an overall categorisation of IUCN activities is contained in the annual assessment reports. A copy of the table entitled 'Expenditure by Programme' for 1994-96 is contained in Annex F (Table C). This combines thematic and regional expenditures, but are not particularly helpful. For example, according to the 1996 table, 1% was spent on the 'sustainable use of wildlife', 9% on 'biodiversity', 14% on 'wetlands', and 4% on 'protected areas'. It is not clear how these figures were derived or what they mean. How much, for example, was spent on wetlands biodiversity?

The need for IUCN to be able to report and analyse its expenditure in a more useful and meaningful way is discussed further in section 6. A basic description of the major programmes is given below.

If analysing IUCN's activities is difficult (except in terms of budgeted programmes), analysing its role - as required by the terms of reference - is even more so. Indeed, the distinction between IUCN's role(s) and its activities is far from clear. All roles are ultimately reducible to specific activities, be it research, networking, convening, etc.. IUCN is not supported by donors to play a role. It is supported to carry out certain activities and to achieve certain objectives. The reviewers have as a consequence restricted their analysis to activities and objectives.

### **3.4.3 Regional programmes**

Most IUCN regional programmes are in developing countries, work with development funding, and address biodiversity issues from a development perspective. Although the beginnings of IUCN involvement in the South did often relate to the traditional competence of the organisation, typically in protected area management, focus widened rapidly to whole ecosystems and to the importance of managing biodiversity as a resource for economic development. Instrumental in this respect was the IUCN Sahel Project, initiated in 1987, which generated much new thinking within the organisation on the relation between conservation and development.

Most regional and national offices in the South maintain a diverse portfolio of activities. These include :

- field projects, both related to protected areas and to ecosystem or natural resource management. These typically include community participation.

- field studies such as inventories of species or specific ecosystems
- environmental impact assessments of development programmes.
- extensive technical support and policy advice to governments in biodiversity planning and legislation.
- capacity building for local civil society organisations and governments.
- environmental education.

Regional programmes, including the HQ regional support group, accounted for 59 % of IUCN's total expenditure. The bulk of this was project funded.

### **3.4.4 HQ Programmes**

#### *Biodiversity Policy Programme*

The BPP is a global programme based at HQ focusing almost exclusively on the Biodiversity Convention (CBD). Expenditure in 1996 was SFr. 1.5 m, or 2% of the total. There are four professional staff. Over the past triennium most activity has been directed toward the international negotiating process and major outputs have been publications, briefing materials and seminars for the use of participating governments and other actors. Recently, more attention has been given to the implementation of the CBD, including advice to individual governments and production of guidelines. The program is also expanding into economics, including economic incentives for biodiversity conservation, with the addition of an environmental economist.

With the entry into the new triennium this year, the programme has been renamed the Biodiversity Policy Coordination Division, and its mandate widened to overall coordination of IUCN biodiversity policy work. New staff will be added and placed at selected regional offices, with the aim of involving regional programmes more actively in policy issues.

#### *Global Policy and Partnership Units*

The GPPU was formed after the 1994 GA to increase IUCN presence and capacity to influence on the global policy arena, and to establish closer contacts with some major actors. It is a very small programme with one staff at HQ and one at the US office. One major focus has been negotiating partnership agreements with the World Bank, the GEF, and the UNDP, agreements that involve policy dialogue as well as facilitation of funding for conservation and sustainable development purposes. Another focus has been the setting up of a Trade and Sustainable Development Centre in Geneva, geared to closely monitoring the WTO and facilitating NGO contacts. There is also some work on green accounting and on debt conversion.

#### *Ecosystem Management Group*

The EMG consists of three separate programmes, organised on a biome basis (Forest, Wetlands, Marine/coastal). All three play a similar role, acting as technical advisers to regionally based field projects within its area of competence, networking with the specialist community, and representing IUCN in relevant global policy fora. Total expenditure in 1996 was SFr. 2.2 m (4% of the total), divided more or less equally between the three biomes. The forestry programme is the largest of three. A Commission on Ecosystem Management (CEM) has recently been created.

The Forest Conservation Programme had very low staffing during much of the past triennium, but there are now two professional staff at HQ plus a policy analyst in a joint position with WWF International. In addition, there is close cooperation with IUCN forestry staff in a number of the regional and country offices. As IUCN's oldest technical programme it was originally focused on protected area issues, but also was among the pioneers in developing community management of protected forests. Emphasis is now more on sustainable use, and fieldwork during the past triennium has centered on community management outside protected areas, and on non-timber forest products. For policy issues, the CSD Intergovernmental Panel on Forests has been the main arena. There is a long list of publications including both guidelines/case studies on specific forest types and policy materials, notably on community forestry.

The Wetlands Programme is a more recent addition to IUCN working already from the outset with a sustainable management approach that seeks to integrate wildlife protection with benefits to local population. There are now [YY] professional staff at HQ. Training and advice is provided to a number of RCO wetland management field projects, legislation and policy advice to some governments, notably on major river basin management plans. Policy work is centered around the Ramsar Convention, with which IUCN has a formal agreement to provide technical advice.

The Marine and Coastal Programme was entirely unstaffed at HQ during 1995, and is still in a process of rebuilding. There are now two professional staff. Like in the Wetlands Programme, focus is on developing integrated management approaches. In addition to work on several new proposals for field projects along these lines, major activities include support to the Coral Reef Initiative, development of ecotourism links to marine protected areas, and advocacy against dynamite and other destructive fishing.

#### *Protected Areas Group*

The Programme on Protected Areas is closely linked to the corresponding Commission, for which it acts as a supporting secretariat. There are [Y.] professional staff at HQ and an additional [Y.] in RCOs. Focus is entirely on networking between and technical support to protected area specialists, inside as well as outside of IUCN. The World Parks Congress, organised every 10 years, is the major global event in its field. Publications activity is high, with emphasis on technical material for practitioners.

The Group also includes the Natural Heritage Programme, which acts as 'advisory body on natural properties' for nominations to World Heritage sites, under contract with UNESCO.

Expenditure in 1996 was SFr. 0.85 m (1% of the total). In 1997 budget of the HQ PA Group, including the Operations Fund of the Commission, is SFr. 1.3 m.

### *Species Survival Group*

The Species Programme, with a small number of professional staff in HQ and one programme officer at IUCN-US, primarily serves as a secretariat to the Species Survival Commission. The SSC, with its 6 800 members and 110 Specialist Groups, is the oldest and by far the largest of IUCN's volunteer networks. Activities are organised to provide technical information and policy advice on the conservation of species, individually or by biologically related groups. There is a wealth of publications, including the well-known Red Data Books and a number of conservation action plans for various species. SSC also plays an important role as a catalyst for conservation activities.

The Sustainable Use Initiative was established in 1995 as an independent part of the Species Survival Group. With two professional staff based in the US office, the SUI seeks to develop knowledge and dialogue on sustainable uses of wild species. The major activity has been the development of regional IUCN Sustainable Use Specialist Networks.

Closely related programmes, but not formally part of the Group, are the World Conservation Monitoring Centre and the TRAFFIC network, both joint projects with WWF, and both located in Cambridge, UK. The WCMC provides information management services and collaborates regularly with the SSC, for example on the Red Data Books. TRAFFIC is a global monitoring system for wildlife trade, serving CITES and also a constant collaborator of the SSC.

Total expenditure in 1996 for the Species Survival Group, including the SUI, the SSC Operations Fund, and grants to WCMC and TRAFFIC, was SFr. 2.8 m (4.5% of the total).

### *Environmental Law Group*

The Environmental Law Centre, located in Bonn, has [Y.] professional staff, but also works closely with over 300 members in the Commission on Environmental Law. The center maintains a large environmental law database and provides information and advice on environmental legal issues inside and outside IUCN. Major initiatives over the past triennium have concentrated on biodiversity legislation, specifically the interpretation and implementation of the CBD. Recent publications include a Guide



to the CBD and an analysis of the international legal and policy framework regarding forests.

#### *Socio-economic Sustainability Group*

The Social Policy Programme consists of a single professional staff member in HQ. Its mandate is to introduce social concerns into IUCN activities on all levels. A main focus has been on developing the concept of 'collaborative management' and promoting it through training and advice related to field projects, through network-building and through design of practical management tools. Other fields of activity have been issues of gender and of population. Recent publications include a major two-volume resource book and field guide to Social Sustainability in Conservation.

The Indigenous Peoples and Conservation Initiative is a recent addition to the IUCN program, evolving out of a IP working group set up in 1993. Presently, the global part of the programme consists of a part-time coordinator based in the US office, offering some support to those regional offices involved in IP issues.

## 4. RELEVANCE

### 4.1 Preamble

#### 4.1.1 *Relevance criteria*

The Terms of Reference for this review require the team to assess the relevance of IUCN's biodiversity activities in relation to the following :

- the policies and priorities of different users and/or target groups
- the policies and priorities of Sida
- key current biodiversity issues.

Following extensive discussions in the early stages of the review process it was agreed with Sida and IUCN to use the second criterion, Sida policies and priorities, as primary focus of the review, and in particular the 'Guidelines for Sida support for the sustainable use and conservation of biodiversity' (see 5.2 below). A summary of these Guidelines is contained at Annex Y. In addition, the review team has made reference to a number of related Sida policy documents (see 5.3 below).

The remaining two relevance criteria are of a considerably more subjective character and have thus been more difficult to deploy in a systematic fashion. Nevertheless, the review team has used them, with some caution, in order to complement the main analysis (see 5.4 and 5.5, respectively).

#### 4.1.2 *Scope of relevance tests*

The relevance tests can be applied either to all of IUCN's biodiversity activities, or only to the parts funded by Sida. There are valid arguments for both alternatives.

From Sida's point of view, it must be of interest to assess specifically the relevance of those programme components where Sida funding is used. But as noted above (sections 3.2 and 3.3), almost all of Sida's support to IUCN is in the form of unrestricted General Programme (GP) funding, and almost none is project-specific. Strictly speaking, it is thus impossible to specify exactly how the Sida contribution is spent. Nevertheless, considering that the Sida funding is as much as 58% of total GP funds, applying the relevance tests to all GP-funded programme components would seem to be a fair enough approximation.

However, there is also a strong argument for looking at the relevance of IUCN's biodiversity work as a whole, given that GP funds are used at least partly for core support to key parts of the organisation, whose existence and outputs may be vital in order for the organisation to exploit the full potential of other funding. Furthermore, Sida representatives have stated that an overall strengthening of

IUCN's capacity is a major, albeit unwritten, objective of the Sida support, and a reason to provide mainly non-restricted funding.

The review team recognises the validity of both perspectives, and has tried to provide alternative analyses where appropriate.

#### 4.1.3 Sida/IUCN Agreement

There is one further relevance test that is not mentioned in the ToR but is nevertheless crucial. According to the present framework Agreement between Sida and IUCN there is a requirement that Sida funding is used for purposes "of direct relevance to developing countries". As the text of the Agreement was only made available to the review team at a very late stage, and after all field work was completed, there was unfortunately no opportunity to discuss this criterion during the interviews.

No definition of 'direct relevance' is given in the agreement, nor has IUCN been required to report against this requirement. Whether or not the purposes to which IUCN has allocated Sida funding are 'directly relevant' depends crucially on the definition used. Both Sida and IUCN appear to have used a wide and generous interpretation.

In the opinion of the review team, any reasonable definition of 'direct relevance' in this context should require the expectation of outputs that are specifically and directly beneficial for developing countries. The bulk of IUCN activities are probably relevant both for developing and developed countries. There are probably few that are directly irrelevant to developing countries. However, it is clearly not sufficient only to ensure that Sida funds, coming from the public development assistance budget, are not used for purposes directly irrelevant to this cause. Rather, their government mandate should require a more positive test, namely that funding is only provided where a clear development objective can be demonstrated.

This said, it is still difficult to give an operational definition of 'direct relevance to developing countries'. It is clear that any blunt measurement like the percentage of funds spent in developing countries would be misleading. Relevance is obviously not decided by location. For the purposes of this review, it was instead regarded as an allowable approximation to let the Sida Biodiversity Guidelines, which already serve as primary focus of the review, also to be the test of 'direct relevance to developing countries'.

The review team is clear that this test of relevance must be assessed for the actual use of the Sida funds. As noted above, the closest possible approximation to these is General Programme funding as a whole. This is in fact a very suitable approximation because, while Sida funds are only part, virtually all GP funding originates from government development agencies, all of which will have a similar mandates and the same kinds of restrictions on the use of their funds as Sida.

## **4.2 Sida Biodiversity Guidelines**

### **4.2.1 Status and content**

The 'Guidelines for Sida support for the sustainable use and conservation of biodiversity' were written in 1994 by the Sida Natural Resources Management Division. The formal status of this document is somewhat unclear. It has also not to our knowledge been used in preparation or appraisal of previous Sida grants to IUCN. There is nevertheless no doubt that this text is a good representation of Sida's policy regarding biodiversity, consistent with several shorter policy texts that have been made available to the review team.

The main focus of the Guidelines is on 'sustainable livelihoods'. It strongly emphasizes the importance of integrating biodiversity as one aspect of development assistance aimed at promoting sustainable livelihoods for the poor, rather than as a separate objective requiring a separate line of biodiversity projects.

The review team extracted the following three guiding principles from the document. These were subsequently agreed by Sida and IUCN as a fair summary of Sida's policy :

- to give priority to the sustainable use of biodiversity within 'areas of biological production', as opposed to wild ecosystems.
- to focus on resource-poor households and the potential of biodiversity to contribute to their livelihood security.
- to promote local control over natural resources and biodiversity.

This interpretation of the Sida guidelines was used by the review team as an introduction to most of the interviews and meetings conducted during the field visits. At Gland headquarters and at ORMA small workshops were organised specifically around the Sida principles. On other occasions, less structured formats were used.

### **4.2.2 Regional programmes**

Despite large and obvious differences in political and socioeconomic context between Meso-America and West Africa, the two regions visited exhibit a remarkable similarity in terms of programme philosophy and design.

- Both have developed an integrated approach to biodiversity management. The tension between conservation and sustainable use perspectives, still very evident in many parts of IUCN, is virtually absent. Likewise, integration of biodiversity

conservation into the larger socioeconomic context is well established. Most programs and field projects are centered on the role of biodiversity use for development of local economies or preservation of local cultures.

In several programs there has been clear development over time from an initially restricted approach towards a more integrated approach. One example is the ORMA Wildlife program, which started with a focus on individual vertebrate species, but gradually has widened into looking at the whole of forest biodiversity.

Simultaneously, there has been a conceptual development in the program leading to a very strong emphasis in the present draft for a new 3-year proposal on 'deepening of democracy' as a key issue for sustainable use of biodiversity. The staff group has also now been broadened to include biological, legal, social science and economics competence.

- Both are quite open to let their programs develop beyond the traditional conservation mandate. Examples are the rather large project on gender issues undertaken by the ORMA social program, and the agricultural plant genetic resources project now proposed by the Niger office.

- Both work and network on many different levels, providing linkages from village projects, small NGOs, local government and local community leadership to national government, regional cooperation structures, national and international research institutions, and international development organisations (NGO, bilateral, and multilateral). The Niger office in Niamey in particular appears to play a key role at the moment in facilitating contacts between government and community organisations, which would otherwise be difficult because of the present political situation.

- Both explicitly regard field projects as demonstration activities primarily intended to provide workable models for independent replication, not as goals in themselves.

- Both put a strong emphasis on partnerships, with NGOs as well as government institutions. With IUCN membership very weak both in Meso-America and West Africa, partners are to a large extent non-member organisations, linked in a variety of formal and informal ways.

- Both have staff who are strongly rooted in their respective region, bringing in-depth understanding of cultural and socioeconomic realities, as well as important personal experience and networks. Consequently, the capacity for intervening adequately even in very complex situations appears high. The ability of the Niger program to work successfully both with the formal local government and the traditional chiefs in the Ron palm project is an impressive case in point.

- Both show good staff team cohesion across program and discipline boundaries. While maintaining high scientific standards in recruitment, the organisation of work

is mainly on a program team basis, which most often implies a cross-disciplinary staff mix.

- Both uphold a high level of internal and external strategy discussion. The Niger office regularly invites its network to 'days of reflection' on topical or long-term issues. The ORMA Wildlife program recently spent considerable effort, including a network seminar, on a 'conceptual framework' articulating key issues about participation, role of the state versus local communities, and the content of the term 'biodiversity'.

All in all, the review team finds that there is a very high degree of overlap between Sida priorities and the approach of the two regions visited. The focus on a sustainable livelihood perspective is evident, although Sida's distinction between 'areas of biological production' and 'wild ecosystems' is not entirely appropriate in many contexts. Especially in Central America, resources from 'wild ecosystems', and indeed often from protected areas, are an important part of 'livelihood biodiversity'.

The focus on the resource-poor is sometimes explicit (eg. the ORMA Social and Wildlife programs), more often implicit, but nevertheless quite clear. Sustainable use by and large is conceived as forms of management that ensure biodiversity conservation by uses that bring economic benefits at the household or village level.

Increased local control likewise tends to be an integral part of the way sustainable use is conceived. The Niger flagship field project in the Ron palm areas in Gaya provides a good example, where increased village control over cutting and other uses is the basic mechanism, achieved by a variety of means, including village committees organised for the purpose, negotiations and agreements both with local government and local chiefs, as well as policy interventions on the national level, for example relating to land use legislation.

Although lacking sufficient foundation for judging whether other regional programmes share the same characteristics, the impression of the reviewers is that at least several of them do.

#### **4.2.3 Global programmes**

In contrast to the remarkable similarity of the two regional programmes, the global programmes score very differently in the comparison with Sida guidelines. Thus, it is necessary to include a brief comment on each of them.

##### *Biodiversity Policy Programme*

With its almost exclusive focus on the CBD process, the BPP has been IUCN's most publicly visible programme, producing large amounts of written material and orally presenting its viewpoints in many different contexts. It is quite clear from this body of

output that the sustainable livelihood issues identified by Sida have not been a priority for the BPP. Despite the fact that the CBD deals at least as much with regulating biodiversity as a means of production, as with regulating its conservation, the BPP has mainly addressed the conservation aspects.

There has been internal criticism of the BPP to this effect, in particular from the RCOs, where many have felt that the BPP has not represented or promoted their experiences with integrated livelihood/conservation approaches. The recent reorganisation of the programme conceived to address this criticism by a shift of emphasis from global to regional level seems not to have substantially tempered this criticism.

The addition of an economics component to the programme has the potential to increase capacity to deal with biodiversity from a livelihood perspective. However, the activities so far have largely remained within a traditional conservation perspective, concentrating primarily on incentive measures and secondarily on financing (protected areas, private sector involvement) and debt conversion.

#### *Global Policy and Partnership Unit*

The GPPU is only very indirectly involved in biodiversity issues, and it is somewhat difficult to judge its activities against the Sida relevance criteria. In contrast to most of IUCN's global programmes, the emphasis of GPPU work is on sustainable development, not on conservation. Its explicit philosophy is that the achievement of sustainable development, including sustainable biodiversity management, will depend much more on the capacity to influence major global trends in for example economy and trade, than on specific environmental or biodiversity policies. This is a perspective which seems to fit quite well with Sida's insistence on integrating biodiversity concerns in overall policy, rather than concentrating on specific biodiversity activities. Within IUCN, the unit appears to maintain a high profile as advocate for change in this direction.

On the other hand, there is little evidence that poverty, sustainable livelihood, or local control perspectives have been strongly brought forward in contacts with the World Bank and other global policy-making institutions. The emphasis has been on developing a negotiating position for IUCN on global policy arenas, and profile on controversial issues seems to have been relatively low. Given the contacts now built up, there should however be great potential for future influence.

#### *Ecosystem Management Group*

The three programmes within the EMG share many basic characteristics, and all show a relatively good fit with the Sida relevance criteria. There is clear commitment to integrated biodiversity management, with the Wetlands programme especially having a long experience in working with sometimes quite large and complex management plans, balancing conservation goals with many different user

demands. All three programmes have their main emphasis on areas of production rather than protected areas, although for obvious reasons the forest programme deals more with production/harvesting under more or less restricted conditions : remaining tropical forests are increasingly under some level of protection.

The local control perspective is emphasized most directly by the Forest programme, which has made community forest management a major priority, but a participatory philosophy is clearly present in all three programmes. Poverty is explicitly mentioned only by the Marine and Coastal Programme (who cite Production - Poverty - Participation as their three guiding principles), but again it is clearly implicit in the work of the two others.

Overall, there is striking similarity between the approach of the EMG programme staff and that of the two regions visited. This is perhaps not surprising as much of their work is done in close cooperation with regional programmes. As in the regional programmes, tension between conservation and sustainable use perspectives seems virtually absent.

The organisation of relations with regional programmes is one aspect that differs between the three programmes. While the Forest programme has implemented a far-reaching and apparently successful regionalisation process, and Wetlands to some extent, Marine and Coastal still maintains a high level of HQ control over field projects. The Forest programme also strongly emphasizes the need for improve two-way linkages between regional activities and global policy debate, and has made this one of its two overall strategic goals.

### *Protected Areas Group*

IUCN has pioneered the development of 'Guidelines for Protected Area Management Categories'. These recognise that the concept of protected areas has changed significantly over the past decade, and now allows for some areas to be managed for sustainable use and conservation. That said, the Protected Areas Programme by definition falls outside one of the Sida criteria. Its focus is not and cannot be primarily on production areas, even though the protected area concept no longer precludes some harvesting or use. Further progression towards a concept of 'managed use areas' is likely to narrow the gap.

Likewise, while protected area management is increasingly participatory and involves local populations, local control over the resources is seldom an option for most protected areas. There is nevertheless scope for a more participatory emphasis within PAG. The PAG does not have any specific focus on poverty, nor indeed on livelihood issues. On the other hand, the programme is changing and may become more consistent with the Sida Guidelines.

IUCN argue that protected areas are making a significant contribution to sustainable livelihoods for the poor, and should not therefore be seen as less relevant from



Sida's point of view. The reviewers do not contest the potential of some protected areas in this respect, but nevertheless maintain that protected areas were not - for good reason - identified as a priority area for Sida support within the Biodiversity Guidelines (Annex J).

### *Species Survival Group*

The Species Programme (SP) is highly technical and largely centered on individual species. Although SSC also does multi-species and issue-orientated work<sup>2</sup>, there is little relation to the Sida criteria or indeed, with a few exceptions, to development in any sense. There may be an interest in production area biodiversity, but only to the extent that it has importance for a certain species. Sustainable use is an accepted concept, but it is explicitly seen as a means to conservation of a species, not as an end in itself.

The Sustainable Use Initiative originated within the Species Survival Group (and Commission). In contrast to the SP, SUI has been established through project cooperation with some of the regional offices, and maintains regular links to several integrated development projects. Nevertheless, it was explicitly stated by staff that conservation, not development, is the primary consideration. The SUI also retains a species focus and, judging from published work, interest has been centered to a high degree on animals, mostly mammals, of little or no interest from a sustainable livelihood perspective. Other examples encountered by the review were, however, more relevant. In conclusion, while the SUI clearly brings a new and interesting approach to the Species Survival Group, its relevance in terms of Sida criteria is limited.

### *Environmental Law Group*

As agreed with Sida, the reviewers did not visit or communicate with the Environmental Law Centre (ELC). The reviewers have not therefore reviewed the contribution of the IUCN environmental law programme to sustainable development, or its contribution to improved national and international legislation, and capacity building in the developing world. The achievements in these areas are not questioned. However, based on written material and secondary sources there is little indication that the Environmental Law Programme has given priority to sustainable livelihood aspects of biodiversity. The impression gained is that ELC work tends to remain on a technical advice level, avoiding possibly controversial

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<sup>2</sup> Examples provided by IUCN secretariat include invasive species; the biodiversity conservation information system; the sustainable use initiative; integrating biological and social concerns; developing an index of biodiversity degeneration; preparing CITES for the 21<sup>st</sup> Century; resolving conflicts on conservation and sustainable use; and biodiversity, global change and human health.

standpoints or even discussion. Major work like the Guide to the CBD and the forthcoming publication on access to genetic resources exemplify this approach.

ELC argue that the programme can play a general advocacy role, but that such a role can only be successful at a more generic level (eg. development of guidelines). It also pointed out that the Costa Rica case (Annex I) is the only example of a controversy raised by IUCN work in the field of legislative assistance in the past seven years.

### *Socio-economic sustainability group*

The central concern of the Social Policy Programme is the social sustainability of conservation initiatives, which is very close to sustainable livelihoods. In practice, much of the work is about developing tools for balancing different demands on biodiversity resources. By working mostly in a developing country context, the programme has a very good fit with Sida guideline criteria. There is not exclusive focus on production areas, because protected area management is also addressed, but the motive for involvement is the presence of people and resource use. Local control, including local institution-building for resource management, is explicitly part of the objectives, and is seen as a prerequisite for addressing poverty.

The Indigenous Peoples and Conservation Initiative is potentially highly Sida-relevant. However, due to extremely limited activity, and even less reporting, this initiative is impossible to assess.

The reviewers were asked to consider the treatment of social and economic issues more generally (gender is addressed in 4.4 below). This issue has recently been the subject of an 'advisory opinion' (Christofferson, 1997). The conclusion of that study - with which this review agrees - was that social programme activities still have considerable difficulties in being integrated into the mainstream of IUCN, and that there was a need for a global system-wide professional economic capability to interact with all HQ and RCO programmes. Four options for increasing the effectiveness and integration of social and economic inputs were outlined, most of which involved structural reorganisation at HQ. The current reviewers favour the more far-reaching restructuring options which go beyond the integration of social and economic activities. Providing IUCN with the resources and encouragement to explore these more radical options would be a good use of Sida support.

### **4.3 Relevance versus expenditure**

The reviewers conclude the relevance of the HQ-based programmes varies considerably, but are in general much less directly Sida-relevant than the regional

programmes. Table 2 below presents a simplified assessment of the relevance of HQ-based programmes, together with the budgeted allocation of GP funds in 1997. The table reveals a uneven fit between the use of GP funds and Sida priorities. The most relevant programmes do not necessarily receive the largest allocations, while very significant amounts are allocated to the less relevant programmes.

**TABLE 2 : RELEVANCE SCORE AND 1997 GENERAL PROGRAMME BUDGET**

Programme	Production landscape	Poverty focus	Local control	OVERALL	GP funds SFr.'000	% of GP funds
<b>Management</b>						
Exec. Gov. & con.					0	
Cons. Network dir.					869	10
Sub-total					869	10
<b>HQ -based Programmes</b>						
Cons. Policy <sup>3</sup>	Low	Low	Low	Low	498	6
EMG	High	Medium	High	High	1320	15
PAG	Low	Low	Low	Low	851	10
SSG	Low	Low	Low	Low	1503	18
Environ. Law	Low	Low	Low	Low	0	0
Socio-econ. Sust.	High	High	High	High	390	5
Sub-total					4562	53
<b>Regional Programmes</b>	High	High	High	High	2111	25
Communication					0	0
Institutional dev.					369	4
Manage. services					0	0
Designat. Funds	Low	Low	Low	Low	646	8
<b>TOTAL</b>					<b>8557</b>	<b>100</b>

IUCN do not accept that an analysis based on GP funds alone is valid, because of the close relationship between GP and Unrestricted expenditure. The reviewers disagree. IUCN further believes that the assumption that GP allocations are a good reflection of the use of Sida's GP support is not entirely correct. The fact that it is not a perfect test is acknowledged in paras. 4.1.2 -3 above.

IUCN accept that some aspects of certain areas of IUCN's programme appear to be of less relevance to Sida. However, it is accepted that the fact that some areas of IUCN's work are identified as less relevant to Sida does not mean that they are irrelevant, or that they make no contribution to sustainable development. It merely reflects a judgement that some areas are more directly relevant than others.

<sup>3</sup> Conservation Policy includes Biodiversity Policy Coordination and Macro Policy.

#### **4.4 Other Sida guidelines**

As agreed with Sida and IUCN, this review has concentrated on the Sida Biodiversity Guidelines as the main text against which IUCN's relevance should be assessed. Three other guidelines were briefly considered using material made available to the review (see Annex D) :

- Marine and Coastal Resources (1993)
- Sustainable Development (1996)
- Equality between men and women (1997)

##### *Marine and Coastal*

The long term objective of the Marine and Coastal Resources guidelines was "to improve the living conditions among poorer segments of society Y based on the sustainable utilisation of natural resources in marine and coastal areas". The involvement of local communities was also stressed. The content is thus very similar to the Biodiversity Guidelines, and the fit with IUCN's marine and coastal programme is therefore also good.

##### *Sustainable Development*

Sida's Policy on Sustainable Development identified the following priority subject areas : water resources; sustainable use of land and forest, and soil conservation; the marine environment; urban environmental issues; environmentally sound production and consumption of energy; competence, capacity and institutional development; and NGOs and civil society. IUCN's activities fit well with at least five of these priority areas.

##### *Gender equality*

In May 1996 the Swedish Parliament established the promotion of equality between women and men as a goal for Swedish development cooperation. An important way of working towards this is to mainstream a gender perspective into the policies and programmes arising from the other goals of Swedish development assistance, including environmentally sustainable development. Specifically, the policy requires that an analysis of the situation of men and women is carried out as an integral part of all analyses before decisions are taken in any area of development. Increased attention is also required to mainstreaming an equality perspective within organisations receiving IUCN support.

The reviewers were not in a position to assess the extent to which a gender perspective had been or was being mainstreamed within IUCN. The strong gender expertise within the Meso-American office, together with gender awareness meetings in other regional offices (eg. EARO, August 1997), and the Council decision to develop a policy on gender for IUCN, would suggest that progress is being made. On the other hand, three indicators would suggest that there is a long way to go before gender could be said to be mainstreamed within IUCN :

- none of the IUCN Project Proposal Guidelines made available to the reviewers mentions gender;
- the promotion of gender equality is not monitored. Although 'women' is one of the theme markers which can be used, there is no indication that it is used, nor that it could be an effective monitoring marker for gender equality;
- no gender policy has yet been produced.

This review does not represent an adequate analysis of the extent to which a gender perspective has been mainstreamed within IUCN. However, it is clear that the current Sida/IUCN Agreement does not comply with Sida's 1997 Policy for promoting equality between women and men. A special study on gender within IUCN needs to be commissioned in order to inform a dialogue between IUCN and Sida on this issue.

#### **4.5 Users and/or target groups**

The reviewers have not been able to analyse IUCN's relevance to the priorities and policies of users or target groups. This is partly due to time constraints, but also because IUCN has very little information on the users of its services and products. There has not, for example, been any analysis of who buys the very considerable publication output. Nor do individual programmes record in any way the recipients of their services.

#### **4.6 Key current biodiversity issues**

Given the size and variety of the IUCN programmes, it would be difficult to find any major biodiversity issue that is not addressed somewhere to some extent. There are nevertheless some key biodiversity issues that are given surprisingly little attention by IUCN. Some of these issues are given below. The fact that we do so in no way contradicts the argument that IUCN should concentrate on a smaller number of issues, rather than further expand its scope. The question of priorities remains extremely important.

##### **4.6.1 Agriculture**

Agriculture is a striking example. Given the overall importance of agriculture for the management of biodiversity, IUCN's apparent decision to avoid major involvement in agricultural (biodiversity) issues is questionable.

There is, of course, already considerable contact with agriculture and farmers in the context of field projects, management plans etc. in RCOs. There are also a few instances of individual IUCN projects dealing with strictly agricultural issues, such as the proposed plant genetic resources project in Niger. But on policy level, either regionally or globally, there is almost no activity apart from occasional contacts with the CGIAR.

#### 4.6.2 *Indigenous Peoples*

Another obvious weakness is the range of issues relating to indigenous peoples and biodiversity. Given that management of protected areas is a traditional strength of IUCN, and that a large proportion of those areas are (or sometimes were) inhabited by indigenous people, it is difficult to understand why IP issues are not seriously addressed. This is even more surprising considering the huge interest documented by the membership at last year's Congress, and the increasingly key position of the IP discussion in the CBD, including major attention at COP 3 and the upcoming special session on 8 j.

Once again, several RCOs are engaged in project activities with indigenous peoples and in some cases in collaboration with IP organisations. It is on the global policy level that interest in IP issues seems to be lacking.

#### 4.6.3 *Biotechnology*

The environmental aspects of biotechnology, including the impact assessment and release regulation now usually termed biosafety, is another field where IUCN involvement would seem logical but does not occur. This may be due to the rather close connection with agricultural issues, but there are also many interfaces to traditional IUCN activities, such as the regulation of exotic species introduction.

#### 4.6.4 *Benefit sharing including IPR regimes*

The economic returns from biodiversity use are perhaps the most controversial issue in the CBD. In fact, the provisions on benefit sharing were the key to obtaining the signatures of developing countries. Without them there would have been no convention. Similarly, without implementation of those provisions the convention will risk losing its driving force. A seriously complicating factor is the rapid proliferation of industrial patents on biological resources in most developed countries, a development resisted by most developing countries.

Given its broad developing country network, together with its access to major developed country policy making centres, IUCN would seem to be in an excellent position to facilitate innovative solutions to this key problem in the CBD. Despite these advantages, little effort appears to have been invested by IUCN in this issue, beyond the production of CBD manuals and guides.



## 5. EFFECTIVENESS, IMPACT AND SUSTAINABILITY

### 5.1 Approach

One of the objectives of this review was to assess the effectiveness, impact and sustainability of IUCN's biodiversity work in areas of particular interest to Sida. As most of IUCN's work relates to biodiversity and is of interest to Sida, this is tantamount to an evaluation of most of IUCN's programme.

The heart of an evaluation looks at effectiveness, impacts and sustainability. By OECD (and SIDA) definition, an evaluation "aims to measure results and effects against stated goals". It has proved impossible to do this for either headquarters or regional programmes, for the following reasons:

- programme objectives are inconsistent between various documents, sometimes unclear, implicit rather than explicit, or not widely shared / understood by all programme stakeholders
- the linked outputs which are intended to contribute to programme objectives are rarely presented, nor do activities follow clearly from these.
- measurable indicators of achievement have not been developed and agreed by programme stakeholders. In some cases there are performance indicators for effectiveness, but not for impact.
- very few external evaluations have been carried out, particularly of the headquarters programmes which absorb the bulk of GP funds.

In this situation, reporting and monitoring results and impact against stated objectives is extremely difficult for IUCN, let alone for external reviewers. These difficulties will be spelled out below. Most stem from problems in programming, project cycle management (PCM), and reporting requirements (see section 6).

It follows that this exercise is not (and cannot be) an evaluation : it cannot adequately and fairly assess the effectiveness, impact and sustainability of IUCN's biodiversity work. It can only draw on the few existing external evaluations, on IUCN's internal assessments and reports, and on general observations arising from interviews and workshops at HQ, ORMA and BRAO.

The conclusions will be that qualitatively those IUCN regional programmes that were discussed with the SIDA review team appear to be of good quality, effective, and in some cases having a positive impact; and that many building blocks for sustainability are being put in place, notably high quality processes and capacity building through provision of information, training and TA. But the overall qualification will remain - this review cannot quantify or measure the effectiveness

or impact of IUCN's work. Currently, neither can IUCN itself. The poor and/or inconsistent presentation of documentation relating to programme objectives, programme coherence, programme outputs and measurable indicators of success for the period 1994-1996 appears to be an endemic problem within HQ as well as ORMA and BRAO. This is discussed further in Section 6.

## **5.2 Available evaluation material**

As originally planned, this review was intended by Sida to be primarily a 'review of reviews'. This section assesses the findings on effectiveness, impact and sustainability within the evaluation material available to the reviewers. Very few independent evaluation reports exist or were made available. Some reviews, such as the External Review of the Biodiversity Programme (1996), were more reviews of the future than reviews of past performance. Some reviews, such as the External Review of the Biodiversity Programme (1996), were more strategy discussions than reviews of past performance. That particular review was also not very 'external', involving mainly a circle of close associates. A list of the documents consulted can be found in Annex D,

*Report of the External Review of the IUCN Programme 1994-96  
(Christoffersen et al, 1996)*

The external review looked at three regional programmes (West Africa, Meso-America, and Eastern Africa) and three technical programmes (Biodiversity, Social Policy, and Forest Conservation). However, the review contains very little in the way of an assessment of the effectiveness or impact of these programmes, with the exception of a few general judgments. Achievements against objectives were not systematically analysed. The external review is thus of little value in this context.

*Review of IUCN-EU Relations (Jeffrey, 1996)*

This review was more critical of the performance of IUCN projects than was the External Review, possibly because the reviewer was able to concentrate on a limited sample of projects. One of the objectives of the review was to evaluate the extent to which the 'customers' of the project consider that the projects have made a positive contribution to long-term conservation/sustainable development objectives. However, the review contains no information on this aspect. The absence of an adequate monitoring and evaluation system within IUCN was again stressed.

*IUCN Progress and Assessment Report (annual)*

The 1996 Progress and Assessment Report represents the most systematic (an occasionally frank) attempt to report on the achievements of IUCN in relation to its stated objectives. It is a considerable improvement on previous years, even if it is not yet an adequate report. The lack of a clear and consistent hierarchy of

objectives; the failure to distinguish between objectives and activities; and the lack of indicators of achievement all reinforce previous criticisms of project/ programme cycle management within IUCN.

For the purposes of this review, the fact that the annual report is not based on an adequate monitoring and evaluation system, and that it is neither external nor independent, is a significant drawback. The annual reports are useful insofar as they provide IUCN's own assessment of effectiveness. However, they cannot yet be considered as adequate assessments.

The general lack of reliable information on effectiveness, impact and sustainability presented this review with a considerable problem. The review had neither the time nor the resources to evaluate even those GP funded programmes of most relevance to Sida. Selected, subjective comments on parts of the HQ, BRAO and ORMA programmes are given below. However, it is important that this should not be mistaken for a thorough external evaluation. The reviewers are very conscious of the fact that these observations are made from insufficient material.

### 5.3 Headquarters programmes

According to the 1994-96 IUCN Programme, HQ is responsible for support and co-ordination of the work of the Commissions, for the main conservation themes in *Caring for the Earth*, and for services such as research and analysis, documentation, guidelines on policy and practice. Thus HQ is more indirect and remote from the main clients, providing research, co-ordination and service functions for RCOs, members & partners. The theme of 'HQ servicing the RCOs' is poorly developed in the 1994-1996 Triennium Programme, but strongly implicated in "Restructuring: Time to Choose", where new structures were proposed to allow RCOs improved access to the resources, expertise and services of HQ.

HQ may thus be seen as undertaking three types of activity :

- to service RCOs and members.
- to service the Commissions.
- to undertake policy development, research and documentation.

Ideally, each of these would contribute to predefined results, and be monitorable against predefined indicators of success (eg. meeting demand, quality, timeliness, relevance, uptake etc.). Neither results nor indicators are available. What follows must thus be seen as subjective comment, and is intended to support the argument for a more systematic monitoring and evaluation framework.

The overall impression gained by the reviewers is that effectiveness and impact of HQ programmes is very variable. Programmes score higher in some areas of activity than in others. For example RCOs need and request strong HQ support. In some

cases, such as in the Forestry programme, the quality of the process is indicative of effectiveness in this respect. There is a strong emphasis on developing capacity for regional activities; on a two-way flow of policy material from field to HQ, using field projects to act as reality check; on providing quality control and process support for RCOs, rather than direction; on a strong social agenda; and cross-regional fertilisation, drawing on regional experiences and acting to share these with other regions.

In others areas - such as the Social Policy Programme - the required type of support is not always forthcoming, and linkages between HQ and RCOs are not always good. This may be due to lack of resources, differences of approach or a lack of transparency in HQ programming. Whatever the reasons, the perception reported in the External Review - that SPP activities are Gland-driven and do not sufficiently take into account local initiatives and work - still exists in some quarters.

In some cases - such as Biodiversity Policy - little effort appears to be made to involve the regions or other programmes<sup>4</sup>. The recent change of emphasis in the Biodiversity Policy group toward more involvement with the regional agenda is one attempt at addressing this concern. It is still far too early to judge the outcome, but the reviewers are not very convinced by the approach. The involvement of the regions is conceived primarily in terms of implementation and liaison, while synthesis, formulation and dissemination of global policy is set to remain firmly in the hands of HQ staff. In fact, with the upgrading of the Biodiversity Policy Programme to a coordinating unit, perhaps more firmly than before. There is a tendency to underestimate the capacity of regional staff to work independently on policy, and a marked resistance to accept and creatively exploit the diversity of analysis and viewpoints that undoubtedly exists within the organisation.

The reviewers came across a number of examples of useful support provided from HQ to BRAO. Fewer examples were encountered in ORMA, where the programme is locally derived and funded, mainly by bilateral agencies. Communications between HQ and ORMA are limited, with the notable exception of the Forest Conservation Programme. There is a perception that regional variations within and between Meso-America and South America are not fully appreciated by HQ.

Two final points should be made. First, HQ-RCO links are improving. For example, a year ago the Wetlands and SUI were the only HQ programmes with links to West Africa. This has changed over last year. Second, the correct balance and relationship between HQ and RCOs is matter of judgement. The HQ/RCO debate is active in IUCN, as it should be. Judgements about the optimal balance will be improved with greater participation and transparency in decision-making within IUCN.

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<sup>4</sup> IUCN counter that BPCD is working closely with five focal regions (South America, Eastern/Central/Southern Africa, and South and South-East Asia) under a Swiss (SDC) funded project, but cannot work with all regions.

HQ programmes also appear to provide effective support to the Commissions, although this was not validated. The impact of the Commissions themselves could not be ascertained. The third arm of HQ work - research, information and analysis - is generally of high quality, and maintains the international status of IUCN. However, its relevance (to SIDA) and impact (on biodiversity conservation) is uncertain.

For example, when the DG asked ELC and BPCD directors to give some policy advice on the issues raised by the internal conflict over the Costa Rica biodiversity law draft (see Annex I), the key point in their answer was that IUCN does not need any more specific policy on the controversial issues than what is already in the CBD text, and that its role should be limited to "clarifying options" to Convention Parties.

In contrast to this view, many staff remarked during the review process that biodiversity issues are today so thoroughly politicised that any involvement unavoidably implies taking a position, if nothing else by default.

The ability to handle the strong internal tensions around this issue would seem to be crucial for IUCN's effectiveness in the years to come. The reviewers doubt that the "purely technical" option is any longer a viable one, in the way that it was when IUCN was formed or even 15-20 years ago. Technical capacity in specific conservation fields is today higher in many governments, international institutions and individual NGOs than it is in IUCN. IUCN's possibly unique role would appear to lie more in its capacity to synthesize innovative and challenging policy proposals that draw both from a solid footing in science and from a wide and diverse experience with the social and political issues connected to biodiversity.

This would, however, require a bolder and more articulate approach to key controversies. There seem to be several factors that impede such a development at present, one of which is the presence of government members. This appears to have created a culture of conflict avoidance in IUCN. Again, the Costa Rica law conflict provides a clear example, where cooperation with a congressional committee was discontinued because of criticism from the ministry representing the state member. This was despite the fact that the congressional committee had an approach to the substantive issues involved that was much more in line with that of IUCN than the ministry.

Another constraint is the composition and organisation of HQ staff. Specialist technical competence is still the primary consideration in recruitment, even though a generalist overview and communication skills would appear to be at least as valuable. The subdivision of the secretariat into small and quite isolated technical programmes with little horizontal interaction contributes to the problem. There is also very little opportunity for staff to engage in HQ-wide strategic discussions, which further reinforces the tendency to technical compartmentalisation.

#### **5.4 Regional programmes :**

The review only visited one country in two regions (Niger for BRAO; Costa Rica for ORMA), each for only a few days. This, and the lack of evaluation material, provides an inadequate basis for a review. The representativeness of these two regions may also be questioned. For example, West Africa is deemed to be one of the most successful programmes. Once again, the fact that conclusions have to be drawn from such an inadequate and biased basis serves to emphasise the weakness of the IUCN monitoring and evaluation system, both internal and external.

Both regional programmes display many inconsistencies in their objectives, and both lack clear outputs and indicators of achievement. Annexes G and H contain a number of alternative programme objectives as summarised from different sources. These reveal both considerable inconsistencies and a lack of clarity.

The inconsistencies between different statements of programme objectives may result from inconsistent reporting styles, formats and terminologies; from changes resulting from decentralisation; from the evolution of programme objectives from year to year; from the development of specific donor-funded projects during the period; from disparities between initially programmed activities and those eventually funded; and/or from a lack of a clear distinction between general country office programme objectives, and specific donor-funded project objectives.

Whatever the reasons, the main result is that it is very difficult to review systematically the regional programmes. Specifically, the results of such inconsistencies are that these may reflect, or lead to, differences in shared understanding and focus of activities; to difficulties in implementation as there are no explicit outputs; to difficulties in reporting progress systematically against programme objectives; and, in the absence of programme outputs and agreed indicators, to wider difficulties in monitoring performance or evaluating the impact of IUCN operations.

These problems aside, on the basis of limited observations and discussions, in one country in each region, IUCN operations would appear to be effective in creating awareness and change, in establishing strategic planning frameworks and collaborative partnerships, and in using demonstration projects to influence wider change in policy and practice. There are also indications that IUCN's work is having a positive impact on institutions at different levels (central and local government, NGO, village), and is strengthening their capacity to tackle the conservation of biodiversity.

There has been no systematic attempt to measure impact or develop indicators of impact of IUCN's work in either region. The review team held a workshop with ORMA staff to start to get some initial ideas about the kinds of indicators that may be used, and subjective impressions of success measured against these indicators (Table 3 below). The review team identified examples of impacts resulting from

IUCN's work for all but the first objective. The scale and sustainability of these impacts is, however, impossible to judge.

**TABLE 3 :**

<b>Objectives</b>	<b>Generic indicators</b>
1. Sustainable use of natural resources	<ul style="list-style-type: none"> <li>· sustainable use as a tool for biodiversity conservation</li> <li>· changes in biodiversity and biological resources</li> <li>· poverty alleviation and improved local economy</li> <li>· new perceptions of wildlife and habitats</li> <li>· scale of impact</li> <li>· balance between protected areas and use areas</li> <li>· local management of natural resources</li> </ul>
2. Policy change, influence the conservation environment	<ul style="list-style-type: none"> <li>· changes in law, policy, practice</li> <li>· changes at local, national and regional levels</li> <li>· north-south links</li> </ul>
3. Capacity building	<ul style="list-style-type: none"> <li>· new skills, new practices</li> <li>· replication and sustainability of capacity</li> <li>· sustained institutional changes</li> <li>· new actors</li> </ul>
4. Communication	<ul style="list-style-type: none"> <li>· new projects funded</li> <li>· raised awareness</li> <li>· new strategies accepted and understood</li> <li>· publications and uptake of information</li> <li>· integration of sectors and actors</li> <li>· creating space for actors</li> </ul>
5. Strengthening of civil society	<ul style="list-style-type: none"> <li>· empowerment of local communities</li> <li>· changes in practice</li> <li>· effectiveness of participation</li> <li>· gender representation and equity</li> </ul>

No work on the measurement of impacts has been carried out in West Africa, but the review team saw many signs that indicate potential positive impact. The approach in West Africa has been to build and strengthen partnerships, with members, collaborators, government agencies, NGOs and donors, to develop IUCN's presence and role in the region. The main themes for this have been capacity building, demonstration projects, and communication. There have been difficulties in matching programme planning (IUCN-dependent) and financial planning (donor-dependent), which have obscured a clear and consistent focus, at least in reporting objectives and measuring progress. Nevertheless, the vision of IUCN's mission and approach is sufficiently strongly held by IUCN staff that this drives operations positively. Annual assessments report both positive and negative aspects of progress, and there is a strong sense of internal institutional learning, of developing enabling processes, of orchestrating events and building relationships to strengthen institutional capacity, and of good networking and communication. The development of field projects is much more dependent on individual donors, but the portfolio of projects is entirely consistent with the IUCN mission and regional objectives.



On the basis of very limited observations, in one country (Niger), these operations are certainly effective in creating awareness and change, and establishing strategic planning frameworks and collaborative partnerships, and in using demonstration projects (Gaya in particular) to influence wider change in policy and practice. IUCN's work is also undoubtedly having intermediary impacts in strengthening institutions (central and local government, village) which are better able to tackle the conservation of biodiversity. The approach is one that is more likely to ensure institutional sustainability, and thus sustainability of impact on biodiversity.

The reviewers cannot assess whether similar processes are being developed in other countries; the scale of these impacts relative to the problems being addressed; the attribution of such impacts to IUCN as opposed to other agents of change; the degree to which change in key government agencies is sufficiently deep to deliver improvements on the ground (as opposed simply to rhetoric, or to dependence on a few key but transient individuals); or the degree to which successful experiences are being replicated without further impetus from IUCN.

The overall indications are nevertheless positive. In summary, a limited and subjective assessment of two IUCN regional programmes indicate these are of good quality and are likely to be effective. In some cases positive impact is evident, as are many of the building blocks for sustainability, notably high quality processes and capacity building through provision of information, training and technical assistance. These building blocks are, however, necessary but not sufficient to sustain institutional change. Much better monitoring and evaluation information is required to validate these impressions.

## **5.5 Impact of General Programme and Sida support**

If judging the effectiveness and impact of IUCN programmes as a whole is difficult, doing so for GP expenditure or the Sida contribution is impossible. There are clear indications that the direct relevance and developmental impact of GP funded programmes is very variable. Beyond that, it is simply not possible to say what additional activities have been funded by the Sida contribution; whether these have been effective; or what the impact has been.

The first requirement for such an assessment is a detailed expenditure report for GP funds. Earlier sections have mentioned that GP funds are a close and appropriate proxy for Sida funds (5.1.3 above), but that the expenditure of GP funds is opaque. No separate report on the expenditure of GP funds is produced, nor was such information made available to the review.

IUCN argue that the very purpose of GP funding is to support the IUCN Programme as a whole, and that to ask for further details on GP expenditure therefore reveals a

misunderstanding of the concept of GP funding. The reviewers do not accept this argument.

IUCN should furthermore be in a position to provide Sida and other GP donors with detailed information on the additional activities which have been made possible through their support. This would provide the basis for a comparison of 'with' and 'without' project outcomes. This too is unavailable.

Neither the reviewers nor IUCN are able to provide reliable information on the incremental impact of GP funds. According to IUCN, Sida's GP support has been spent on flexible, innovative, higher-risk initiatives. It has allowed IUCN to "invest flexible funds in seizing strategic opportunities and in leveraging support from partners and networks". According to IUCN, this support has strengthened global programmes and initiatives; strengthened regional programmes; strengthened input from regional programmes to global initiatives; and catalysed networks.

The reviewers are not in a position to judge the veracity of these claims, beyond noting several examples of programmes which appear to meet this description (eg. Biodiversity Conservation Information Service (BCIS); Sustainable Use Initiative (SUI), and initial development of Marine Protected Area work, later taken up by the World bank). However, an unknown proportion of the GP funds clearly do not support innovative activities, but rather appear to fill financial gaps in existing programmes, including those that are less relevant to Sida.

Unless and until IUCN can, first, provide detailed information on GP expenditure by programme and activity, and second, has a reliable and effective monitoring and evaluation system in place, Sida cannot be confident about the use and impact of GP funds. The type of selective reporting by example favoured by IUCN is unconvincing and inadequate given the magnitude of financial support provided by Sida and other donors.

## **5.6 Sustainability**

Mention has already been made of the dependence of IUCN on Sida GP support (2.1). More generally, the heavy reliance on development funding, even for core work that is not development related in any specific way, is perhaps the primary sustainability consideration for IUCN. Sooner or later, the fact that development funds are being spent in ways that do not directly contribute to development objectives - or, at least, could be spent in ways that more directly contribute to development objectives - will lead to a reassessment of core support. There are a number of possible ways of addressing this issue. For example, IUCN's core profile could become more directly development orientated; or other core funding could to be secured (eg. via a Trust Fund); or IUCN's core must shrink in size and scope; or IUCN could be divided more clearly into a general purpose membership-financed

part, and a relatively independent, relatively self-governed, development-financed part.

## **6. PROGRAMME MANAGEMENT ISSUES**

The review has revealed considerable difficulties in assessing the relevance, effectiveness and impact of Sida, GP and IUCN funds. The problems associated with this stem mostly from weaknesses in programme management. Although this is well recognised in some sections of IUCN - and steps are in place to address some of these issues - these are problems which require action. The next phase of Sida support should be seen as one means of achieving more rapid progress in this area.

### **6.1 Programme planning, appraisal and approval**

Programming now is done first at national level (planning processes with members and partners), then at regional level (regional integration and coherence), then scrutinized at HQ by the Programme Development Group (PDG). The PDG checks its fit with IUCN's mission, provides a technical critique, cross references with other RCOs, provides strategic advice on funding sources, and balance overall demands on specific donors. This appears to be a good, workable, decentralised system of planning.

The tripartite structure of IUCN (members, commissions, and secretariat) does make programming and priority setting more difficult. However, this does not explain the lack of clear and monitorable objectives at the programme, intermediate, or IUCN level. The definition of clear outputs and indicators of achievement - and a hierarchy of objectives between the mission statement and individual projects/programmes - is an essential prerequisite of an effective monitoring and evaluation system (see below). The recent Intersessional Committee of Council's Programme and Budget Committee made a similar point, and has called for thematic goals that are few in number, monitorable and unifying (July 1997).

The PDG provides guidelines for RCO project preparation. However, those seen by the reviewers are relatively basic and do not provide much detailed guidance. Furthermore, the use of logical frameworks is neither widespread nor systematic. This adds greatly to the difficulties of reviewing effectiveness and impact. Sida policy is that the use of the logical framework approach (LFA) by its partner institutions should be encouraged but not imposed. Fortunately, IUCN itself has accepted the merits of LFA. In the opinion of the reviewers, the process of developing a hierarchy of logical frameworks (mission, thematic, programme and project) would do much to clarify the IUCN programme and Sida's contribution to it.

These are not new comments. However, despite the External Review and the DG's "Time to Choose", there is little evidence of new action or real progress. A set of planning tools is urgently required with associated training in their effective use by IUCN staff. In the opinion of the reviewers this should include the introduction of

systematic Project Cycle Management (PCM), incorporating a logical framework approach (LFA) for both programmes as well as projects.

## 6.2 Budgeting

The main sources of funding for IUCN work are project specific donor funds and GP funds. The key issue/difficulty in PCM is matching programme intentions with actual funds, and in allocating GP funds. The latter is an important and contentious issue, for two reasons. First, GP funds are the most valuable and sought after category of funding. Second, the allocation and expenditure of GP funds is not transparent.

The need for IUCN to have access to non-projectized GP funding in order to achieve its mission is widely appreciated. The key question is how to allocate the limited GP funds, within HQ and between HQ and regions. Without GP funding IUCN's programme is narrowed to 'project focus' work, which is more limited in impact, short-term, and cannot necessarily capitalise on IUCN's key strengths : bringing stakeholders together, mobilizing interest and action, and changing attitudes and ideas.

There are strong arguments for shifting balance of GP funds towards RCOs. The great value of GP funds for RCOs are that they allow non-projectised and urgent interventions in policy, debates and networking. It allows the liberty of action outside projects, and independence from donors, government, interest groups. More GP funds would make RCOs better able to capitalise on entry points for influence and change as they emerge in-country, to build on existing institutional and personal relationships and understanding, to mobilise NGOs, and to convene and stimulate thought and action. These are IUCN's real strengths in-country that set it apart from NGOs, donors, and government agencies. The greater Sida-relevance of RCO programmes compared with some of the HQ programmes is an additional argument.

Shifting the balance of HQ earmarked funds towards regions would also allow RCOs more control in commissioning HQ support. The principle that RCOs should contract services from HQ is a good one, but in practice budgets are still controlled centrally. Achieving a real "purchaser-provider" split would encourage more relevant, accountable, demand-driven services from HQ. This is preferable to insisting that HQ spending x% of their budget in the regions. Nor need this diminish other HQ functions, such as global policy formulation and developing international fora, which RCOs recognise as valuable and important.

An equally strong theme running through these arguments is that even with GP funding - indeed, *especially* with GP funding - the need to measure effectiveness and impact is vital. The fact that IUCN exists, is unique, and appears to be effective does not justify GP funding from donors. What matters, and what currently cannot be assessed, is the extent to which any additional GP funding leads to additional impact.

### **6.3 Monitoring and evaluation**

The absence of an effective monitoring and evaluation system has been noted in both the 1993 and 1996 external reviews. Some progress has been made in developing and testing an evaluation system, most notably with the Monitoring and Evaluation Initiative in Meso-America, South America, East and Southern Africa. This has yet to have an obvious impact, and it is not clear to the reviewers why progress has been so slow. Talk of an evaluative culture within IUCN is premature. There is no culture of PCM and logical frameworks which would clarify objectives, outputs and measurable indicators. Arguably these must be in place before an "evaluative culture" can be built. The limited funding of this initiative, despite the availability of so much GP funding from Sida, may be one factor.

The fact that so much of the IUCN programme still lacks consistent objectives, clear outputs, and monitorable indicators of achievement is a cause for concern. The extremely limited amount of reliable monitoring and evaluation information available to this and any other external review also severely constrains the utility and effectiveness of such reviews. In the opinion of the reviewers, increased priority needs to be given to the definition of objectives, outputs and indicators. Improvements in this area, together with the more effective and widespread use of Logical Frameworks at the programme level and above, represent essential first steps.

One aspect of monitoring which warrants attention is financial reporting. As already mentioned, there is a need for IUCN to be able to report and analyse its expenditure in a more useful and meaningful way. The current expenditure marker system is inadequate for accountability. At present, it is not possible for IUCN to report on expenditure by thematic objective, location, biome, and activity type, but only by programme. Expenditure by programme alone is uninformative and misleading, and does not allow IUCN to track and report on its expenditure trends. An improved expenditure marker system should not be difficult or costly to introduce. It will not be introduced unless IUCN and donors demand improved reporting of this type.

### **6.4 Other issues**

The review noted that the overall quality of secretariat staff is very high. However, problems of management, communication, organisation, and integration within IUCN are evident. Horizontal integration between HQ programmes, and between regions, is often poor. All these problems were identified by the External Review, and will not therefore be covered here. All these problems do, however, act as a constraint on the performance of the secretariat in HQ and RCOs.

## 7. CONCLUSIONS AND RECOMMENDATIONS

This review has asked three main questions :

- how relevant is IUCN's biodiversity work in relation to Sida guidelines?
- how good is IUCN's biodiversity work (ie. its performance) ?
- how can the relevance and performance of IUCN work supported by Sida be increased?

### 7.1 Relevance

Sida provides funds to IUCN in order to promote environmental protection in developing countries, and in a way that is consistent with its policies and guidelines.

The review concludes that much of what IUCN as a whole does is relevant to developing countries, and is consistent with Sida's biodiversity and other guidelines. All of IUCN's work is directly or indirectly related to biodiversity. However, much of IUCN's work is project and programme funded by other donors. The reviewers are much less certain about the relevance of General Programme (GP) and Sida funds as currently allocated by IUCN.

It is impossible to assess whether Sida funds have been spent on programmes that are directly relevant to developing countries and in a way that is consistent with Sida Guidelines . Accountability demands that IUCN can demonstrate how Sida (and other donor) GP funds are spent. The fact that these are development funds provided to an organisation which is not primarily a development institution makes this doubly important.

GP funds are a close and reasonable approximation for Sida funds. However, no separate report of GP expenditure was available to the reviewers, nor is such a report provided to (or requested by) Sida. Only budgeted GP expenditure by programme is available.

The Sida Biodiversity Guidelines indicate a general focus on sustainable livelihoods for the poor, and specifically on three areas : semi-natural production landscapes rather than protected wildlands; biodiversity of direct benefit to poor people; and the promotion of local control and management.

IUCN does not have a management information system which can be used to assess expenditure and relevance across programmes. A subjective and partial assessment suggests that **regional programmes** are broadly consistent with the Sida Guidelines. However, these programmes are largely funded by donors other than Sida.

**HQ programmes** are much more dependent on GP funds than are the regions. Discussions with the secretariat indicate an increasing focus on the areas identified in the guidelines, as well as a healthy debate within IUCN over the direction of the institution. The reviewers conclude the relevance of the HQ-based programmes varies considerably, but are in general much less directly Sida-relevant than the regional programmes.

The review concludes that there is an uneven fit between the use of GP funds and Sida priorities. The most relevant programmes do not necessarily receive the largest allocations, while very significant amounts are allocated to the less relevant programmes.

## 7.2 Performance

This review could not measure the effectiveness or impact of IUCN's work. Currently, neither can IUCN itself. The unclear and inconsistent presentation of documentation relating to programme objectives, programme coherence, programme outputs and measurable indicators of success for the period 1994-1996 is a fundamental shortcoming. This review is not and cannot be an evaluation for the above reasons.

The reviewers conclude that the effectiveness and impact of **HQ programmes** is variable. Some programmes are both high quality and useful to the Regions. Others are perceived to be less so. Much better monitoring and evaluation information is required to validate these impressions.

A limited and subjective assessment of two IUCN **regional programmes** indicate these are of good quality and are likely to be effective. In some cases positive impact is evident, as are many of the building blocks for sustainability, notably high quality processes and capacity building through provision of information, training and technical assistance. The reviewers cannot assess whether similar processes are being developed in other countries; the scale of these impacts relative to the problems being addressed; or the attribution of such impacts to IUCN as opposed to other agents of change.

If judging the effectiveness and impact of IUCN programmes as a whole is difficult, doing so for GP expenditure or the Sida contribution is impossible. There are clear indications that the direct relevance and developmental impact of GP funded programmes is very variable. Beyond that, it is simply not possible to say with any certainty what additional activities have been funded by the Sida contribution, or whether these have been effective. It is not possible to judge the impact (attributable change) of Sida support.



These reservations should not obscure the most important conclusion of the review, which is that IUCN deserves continued Sida support. Much of IUCN's programme is of high quality and is consistent with Sida's objectives and policies.

### **Implications for Sida**

The reviewers were asked to produce a report for Sida on the relevance and performance of IUCN's biodiversity work. The fact that these questions have been so difficult to answer has significant implications for future Sida support to IUCN. The most important of these relate to improvements in Project Cycle Management, including monitoring and evaluation, within IUCN.

The reviewers are not in a position to recommend specific changes in IUCN's biodiversity programmes. Those within IUCN are the best qualified to judge the technical direction, balance and content of the programmes.

Specific programme stipulations would also run counter to the spirit of the Sida support for IUCN. Sida cannot provide GP support and then require that it is spent in particular ways. No recommendations relating to the technical content and balance of activities supported by Sida have therefore been made by the reviewers.

The reviewers were asked by Sida to provide recommendations which could be used in drafting the new IUCN/Sida Agreement. The recommendations which follow concentrate on ways of improving the focus, management and accountability of the Sida support, and for assisting the process of institutional change within IUCN. This is likely to require a greater programme advisory input from Sida in order to clarify Sida's requirements and to engage with IUCN in the process of redefining Sida support over the period of the Agreement.

The reviewers are not proposing a shift from GP support. However, the use of such funds needs to be more transparent, accountable, and monitorable. Immediate improvements in the allocation and monitoring of GP funds should be a condition for continued Sida support.

The guiding principle for Sida support should be that it is used to assist IUCN to become more effective, to change, and to innovate, not merely to fill financial gaps in existing programmes and processes on a continuing basis. Recent proposals for IUCN to work to a small number of integrated, thematic goals (intermediate between the mission statement and the programmes) are a positive development. Sida funds could be support a shift to more integrated, thematic programming, and should assist the process of institutional change within IUCN.

Finally, the experience of this review has shown that it is neither sensible nor realistic to attempt to study an organisation of the size of IUCN in this way. Any

future external review should be much more tightly delimited and realistically resourced. Little is served by a succession of superficial external reviews.

## RECOMMENDATIONS TO SIDA

1. Sida should continue to provide General Programme funds to IUCN in order to support biodiversity activities and programmes which contribute directly to the objective of developing sustainable livelihoods for the poor in developing countries.
2. The new Agreement with IUCN needs to contain clear objectives and monitorable indicators of achievement. Any stipulations must be similarly precise and monitorable.
3. Sida GP support should be provided on the following conditions :
  - IUCN should draw up proposals, for discussion with Sida, for improving the process by which GP funds are allocated between and within HQ and RCOs.
  - IUCN should report separately and in detail on GP expenditure. The content of this report should be agreed with Sida (and other GP donors).
  - a plan for improving Project Cycle Management within IUCN should be prepared by IUCN for discussion with Sida.
  - a monitoring and evaluation plan should be prepared by IUCN for discussion with Sida.
  - a hierarchy of Logical Frameworks (IUCN, thematic goals, and programmes) should be prepared by IUCN for discussion with Sida.
4. The 1998-2000 Agreement should include clear timetables, targets and intermediate indicators (milestones) the above conditions. Progress against these should be jointly monitored by Sida and IUCN.
5. Sida should increase the management and advisory inputs associated with the IUCN programme. At the very minimum this should include a mid-term review of the 1998-2000 Agreement.

## REVIEW OF IUCN's ROLE AND WORK REGARDING BIODIVERSITY

### 1. Background

Sida provides considerable financial support to IUCN, totaling SEK 30 million of basically unrestricted programme support during 1997. Follow-up of the support regarding the cooperation normally takes place during annual consultations with other donors and IUCN. During 1997 the intention is to negotiate a new 2-3 year agreement with IUCN for the period 1998-2000.

In 1996 IUCN commissioned - with support from the donors including Sida - an independent review of the 1994-1996 triennial period. To complement this review, and the ongoing advisory support provided by Sida's technical adviser (Dr Lill Lundgren), Sida would like to undertake a review of IUCN's role and work regarding the biodiversity issues of particular interest to Sida. These are identified in the 'Guidelines for Sida support for the sustainable use and conservation of biodiversity' (Sida, 1994).

The reasons for a focus on biodiversity in the review are as follows : a) it has been identified by IUCN as its core question; b) it is a cross-cutting issue reflected in almost all components of IUCN's work; c) the sustainable use of biodiversity is a major interest of Sida; and d) the triennial review did not include detailed consideration of the biodiversity issue.

The review will explicitly consider the correlation between IUCN's work and the strategic considerations and principles of Sida as expressed in the Guidelines on Biodiversity and other relevant Sida policies and guidelines, including the Guidelines on Natural Resources Management.

### 2. Objective

The review has two main objectives :

- to analyse how biodiversity issues have been and are being addressed in general within IUCN;
- to assess the relevance, effectiveness, impact and sustainability of IUCN's biodiversity work in the areas of particular interest to Sida.

### 3. Issues to be covered

Unless otherwise stated, the study should cover the period since UNCED 1992 with main focus on the 1994-96 triennium as well as the current year (1997).

The consultants will address the following groups of questions. A basic overview will be provided of the first group : IUCN and biodiversity. The other groups will be covered in more detail.

**IUCN and biodiversity :**

- what is the nature, scope and focus of IUCN's biodiversity activities?
- how is biodiversity being addressed by the different parts and programmes of IUCN?
- how does the biodiversity work consider social aspects (eg gender, economics)?
- what role is IUCN playing internationally (vs other global actors), nationally, and locally?
- how are IUCN's biodiversity activities planned and managed?

**Relevance :**

- what is the relevance of IUCN's programme in relation to :
  - the policies and priorities of the different users and/or target groups?
  - the policies and priorities of Sida?
  - key current biodiversity issues (local, national, and global)?

**Effectiveness :**

- what are the objectives of IUCN's biodiversity work in the priority areas identified by Sida?
- how effective has IUCN been in achieving these?
- what have been the immediate results/outputs of IUCN's biodiversity activities in the priority areas?

**Impact :**

- what are the observable or likely impacts of these areas of IUCN's biodiversity work in terms of :
  - knowledge.
  - policies (international, national and agency).
  - institutional capacity.
  - projects and programmes (biodiversity and other).
  - biodiversity conservation and utilisation.
  - impacts on different users/target groups.

**Sustainability :**

- how sustainable are IUCN supported biodiversity activities?
- how sustainable are the results and impacts of IUCN's work in the areas reviewed?

#### 4. Methods, team and timetable

The analysis of how biodiversity issues are addressed by IUCN - and their relevance in relation of Sida biodiversity priorities - will need to provide a general overview of the major biodiversity activities of IUCN. However, as agreed with IUCN, detailed work on effectiveness, impact and sustainability will be concentrated on the specific framework of areas and issues as identified in the Sida Guidelines on Biodiversity. This framework is as follows :

PRODUCTIO N	Poverty focus	Local management	National policies	National capacity	Global policies
LANDSCAPES					
Agriculture					
Forests					
Coastal					

The review team will use the following methods and sources in order to relevance, effectiveness, impact and sustainability of IUCNs work in these areas :

- a review of recent IUCN published documents, and of internal and external evaluation material.
- literature reviews around the framework.
- review workshops involving IUCN staff at headquarters, and IUCN staff plus members, partners and users in 2 regions/countries. One important output of these workshops will be the criteria, indicators and methods to be used in reviewing the framework.
- interviews with IUCN staff, IUCN members, commission members, and donors.
- interviews with non-member individuals and organisations.
- e-mail/telephone survey of a sample of IUCN members, commission members, and users/non-users.

Short field visits will be made to two contrasting regions : West Africa (Niger) and Central America (Costa Rica).

A tentative timetable for the evaluation is as follows :

June	:	finalise TORs with Sida and IUCN in Stockholm
June 30-July 2	:	visit to IUCN, Gland .
July 20-24	:	visit to Costa Rica
July 27-31	:	visit to Niger
September	:	follow-up/feed back visit to Gland.
September 19	:	submission of draft report.

The evaluation team will consist of three independent consultants : environmental economics (team leader), agricultural biodiversity, and forest ecology. Sida's technical adviser on IUCN (Dr Lill Lundgren) will act as resource person to the team.

## **5. Reporting**

The consultants will be contracted by, and report to, Sida.

The consultants will prepare a brief draft report of their findings and recommendations for discussion with IUCN in September.

The consultants will submit a full draft report to Sida, Stockholm before September 19. The report shall not exceed 40 pages (excluding annexes).

Sida will be responsible for issuing the draft report for comment. The consultants will present a revised report, taking into account comments received, within three weeks of receiving the comments from Sida.

## REVIEWERS' CVs

## ANNEX B

### CURRICULUM VITAE

<b>NAME</b>	Michael Edward Stamford <u>FLINT</u>
<b>DATE OF BIRTH</b>	24 September 1956
<b>NATIONALITY</b>	British
<b>MARITAL STATUS</b>	Married; 2 children.
<b>CURRENT ADDRESS</b>	Wernddu House, Pontrilas, Hereford HR2 OED Tel. : (44) 1873-860315 Fax. : (44) 1873-860342 e-mail: mflint@compuserve.com

### SUMMARY OF EXPERIENCE

Michael Flint is a socio-economist specialising in evaluation, natural resources and the environment in developing countries. He has 16 years post-graduate experience of project design, appraisal, implementation, monitoring, and evaluation in Africa and South Asia. His experience includes 4 years on a farming systems project in Botswana, 3 years as a natural resources economist at the Overseas Development Administration (ODA), and 9 years as an independent consultant. Areas of expertise include programme evaluation, economic analysis, monitoring systems, forestry and environment, and general policy analysis. He has working experience of a wide variety of agricultural, livestock and forestry systems. Recent policy work has covered the conservation of biological diversity, and the links between population growth and the environment.

### COUNTRY EXPERIENCE

- |              |              |
|--------------|--------------|
| - Bangladesh | - Botswana   |
| - Cameroon   | - Costa Rica |
| - Ghana      | - India      |
| - Kenya      | - Nigeria    |
| - Sudan      | - Sri Lanka  |
| - Tanzania   | - Uganda     |
| - Zimbabwe   | - Vietnam    |



## **EDUCATION**

- Universities - 1975-78 : Cambridge University  
- 1979-81 : Reading University
- Degrees - 1978: BA Honours (Cambridge) Social and Political Sciences.  
- 1980: Postgraduate Diploma (Reading) Agricultural Economics  
- 1981: M.Sc (Reading) Agricultural Economics

## **EMPLOYMENT SUMMARY**

- 1989- : independent consultant
- 1988-89 : D.Phil research programme Institute of Development Studies, University of Sussex.
- 1985-88 : Senior Economic Assistant, Overseas Development Administration (ODA) , UK
- 1981-85 : Agricultural Economist, Integrated Farming Pilot Project, Botswana.

## CURRICULUM VITAE

**NAME:** HARRISON, Michael John Somerset

**DATE OF BIRTH:** 12th July 1954

**NATIONALITY:** British

**ADDRESS:** LTS International Ltd, Pentlands Science Park, Bush Loan,  
Penicuik, Nr Edinburgh, EH26 0PH, UK.  
Tel: 0131 (+44 131) 440 5500  
Fax: 0131 (+44 131) 440 5501  
Email: mikeh@ltsi.demon.co.uk

### KEY QUALIFICATIONS:

Ecologist with 21 years of experience in Africa, South and South East Asia, and Latin America, specialising in biodiversity conservation and participatory natural resource management, with extensive practical field and institutional experience. Particular strengths in process facilitation and the management of institutional change in forestry and conservation agencies in relation to rural development forestry, management of protected areas and production forestry, to ensure more socially and ecologically oriented practices. Expertise in project cycle management, participatory planning methodologies and process projects, to enable effective project design, implementation, monitoring and evaluation. Work experience with major bilateral agencies including DFID, EC, FINNIDA, SIDA, World Bank, UNDP, GEF, ADB. Extensive experience with biodiversity and resource surveys, NTFP management, local community institutional development, research and training, and film-making

### COUNTRY EXPERIENCE:

**Short term:** Belgium, Brazil, France, Guyana, Côte d'Ivoire, Latvia, Malaysia, Nepal, Nigeria, São Tomé, South Africa, Sri Lanka, Thailand, Uganda, Zimbabwe (1-3 mths).  
**Medium term:** Indonesia (3 mths), Kenya (3 mths).  
**Long term:** India (2 yrs), Senegal (2 yrs), Gabon (2 yrs), Cameroon (2 yrs), UK.

**EDUCATION:** 1982, University of Stirling, Scotland. PhD in Tropical Ecology  
1976, University of Bangor, North Wales. BA in Psychology

## EMPLOYMENT SUMMARY:

1988 - present: Development consultant specialising in institutional change for participatory natural resource management and biodiversity conservation, environmental and protected area planning, research and training:

**India** (DFID) Western Ghats Forestry Project, process support to facilitate institutional change and develop effective, participatory planning and management of forest resources inside and outside protected areas (Joint Forest Planning & Management), responsible for developing shared vision amongst KFD staff, developing new skills, and new planning and monitoring processes; **Brazil** (DFID) Process support facilitator, project design and evaluation on Mamiraua Flooded Forest Conservation Project; **South Africa** (DFID) community forestry research strategy development; **UK/Brussels** (EC) co-author of Guidelines for Forest Sector Development Co-operation; **UK/Bolivia** (DFID) natural resources programme review; **India** (DFID) community forestry review on Himachal Pradesh Forestry Project; **Scientific and Technical Appraisal Panel** (STAP) of the (GEF), review and development of GEF funding proposals for biodiversity and forest conservation projects in Africa and Asia; **Uganda** (EC) evaluation of Natural Forest Management and Conservation Project; **Zimbabwe** (DFID) evaluation of Environmental Impact of DDT use; **Thailand** (ADB) training course design - Participatory Management of Protected Areas - for Regional Community Forestry Training Centre, Bangkok; **Latvia** (DFID Know-How Fund) EIA for forestry investment programme; **Sarawak** and **Guyana** (private) research support to sustainable forest management; **Indonesia** (ODA & EC) Integrated Protected Area Systems (IPAS) and forest conservation planning and implementation; production forest management; **Nepal** (ODA) biodiversity in community forestry planning; **Kenya** (ODA) national forest conservation planning and implementation; **Kenya** (FINNIDA) Forestry Master Plan wildlife and tourism development; **Sri Lanka** (ODA) environmental impact planning; **India** (ODA) wildlife management in Karnataka forest and plantations; **West Africa** (EC) Regional conservation project planning; **Cameroon** (GOC) National Parks and tourism planning.

1984 - 1987 Assistant Producer, Research Adviser and Location Manager in **Cameroon** of "Baka: People of the Rainforest", television documentary film about the ecology of an African rainforest and its people.

1982 - 1984 Royal Society Post-Doctoral Research Fellow, attached to Tropical Ecology Research Institute in Makokou, **Gabon**, and CNRS in Paris, **France**; research on wildlife conservation and forest ecology

1977 - 1982 Research Officer and PhD student at University of Stirling, Scotland; ecological research in Niokolo-Koba National Park, **Senegal**.

**LANGUAGES:** English (mother tongue), French (fluent), Baka (spoken)

## **CURRICULUM VITAE**

### **NAME**

Peter EINARSSON

### **PERSONAL DATA**

Born 8 December 1955 in Vetlanda, Sweden. Swedish citizen. Common law marriage since 1976. Four children.

### **CURRENT ADDRESS**

Björkeryd  
SE-360 13 Urshult  
Sweden  
Phone & fax +46-477 401 60  
Email peter.einarsson@ekolantbruk.se

### **LANGUAGES**

Mother tongue Swedish. Fluent English. Good reading skills and basic speaking and writing in French and Spanish. Basic reading in German and Italian.

### **FORMAL EDUCATION**

1975 High School Diploma

1978-82 Part-time studies Stockholm University.  
Geography, Philosophy, English. No degree.

### **EMPLOYMENT**

1976-81 Railway freight handler, Statens Järnvägar, Stockholm.

1982-present Primarily self-employed. Registered company since 1985.

### **PROFESSIONAL ACTIVITY**

1982-present Free-lance journalist, main focus environmental politics. Mostly print media, occasionally radio.

1982-89 Translations from English and French into Swedish. Books, articles, mainly political philosophy. 1985-89 with 5-year government working grant (Författarfonden).

1985-89 Editor, Odlaren (organic farming journal).

1986-present Part-time farming (vegetables, sheep).

1988-present Shorter and longer consultancies, mainly for Swedish NGOs, in the fields of sustainable agriculture, agrobiodiversity, and agricultural

biotechnology. National and international representation and lobby activities. A few full-length reports, numerous speaking engagements, papers and contributions to anthologies.

1989-1993 Editor, Bioteknikinformation (general audience biotechnology newsletter).

1994-present Agricultural Policy Officer, Swedish Association of Ecological Farmers.

## **SOME RECENT AND CURRENT CONTRACTS**

Swedish Society for Nature Conservation, North-South Department: Representation at FAO CGRFA April 1996, CBD Biosafety Working Group July 1996, CBD COP3 November 1996.

Swedish Society for Nature Conservation, Nature and Environment Department: Participation on Government Delegation at OECD Seminar on Environmental Benefits From a Sustainable Agriculture, September 1996.

Swedish Association of Ecological Farmers: Participation in official mid-term review of Sweden's agri-environmental programmes, 1996-97.

Federation of Swedish Farmers (LRF): Participation in five regional seminars in preparation for new biotechnology policy, January-March 1997.

EU Commission, DG XII: The Socio-Economic Implications of Biopesticides, Research Grant 1997-1998 (with partners from UK and Spain).

## **SOME RECENT PAPERS**

"Genteknik och ekologi" (Gene Technology and Ecology), in Transgena organismer i naturen, Studies in Bioethics and Research Ethics 1, Acta Universitatis Upsaliensis, Uppsala 1997.

"Från soldrift till olja - och tillbaka igen?" (From Solar Power to Petroleum - and Back Again?", in Maten och miljön, Naturskyddsföreningen, Stockholm 1996.

"Limitations of the Risk Perspective: Implications for Biosafety Capacity Building", in Biosafety Capacity Building: Evaluation Criteria Development, Stockholm Environment Institute, Stockholm 1996.

"Some Common Misconceptions About Organic Agriculture", at Agrisystems for Sustainability, seminar organised by the European Environmental Bureau, Brussels, October 1996 (in press).

#### **SOME POSITIONS IN PERSONAL CAPACITY**

Chair, Institutet för Bioteknikinformation i Sverige (Swedish Institute for Biotechnology Information), Stockholm.

Board Member, Genetic Resources Action International, Barcelona.

Board Member, GENET (European NGO Network on Genetic Engineering), Brussels.

**ANNEX C**  
**Persons consulted**

<b>IUCN Gland</b>		
Borrini-Feyerabend	Grazia	Social Policy Group
Dugan	Patrick	Programme Coordination & Regional Support
Ejigu	Mersie	Assistant Director General
Gherzi	Fernando	Latin America Coordinator - Regional Support Group
Gilmour	Don	Forestry Programme
Gimenez Dixon	Mario	Species Survival Programme
Goldstein	Wendy	Environmental Education & Communication
Halle	Mark	Global Policy
Hislaire	Peter	South & South East Asia Programme
Holthus	Paul	Marine and Coastal Programme
Lahmann	Enrique	ORMA
Martinet	Caroline	Biodiversity Policy
McDowell	David	Director General
MacPherson	Nancy	
Ngoile	Magnus	Marine and Coastal Programme
Purewal-Sukhbindar	Bobby	Finance Division
Rietbergen	Simon	Forestry Programme
Rosabal	Pedro	Protected Areas Programme
Ryden	Per	Institutional Development
Shaughnessy	Elaine	Publications Services Unit
Sheppard	David	Programme on Protected Areas
Stuart	Simon	Species Programme
Vorhies	Frank	Environmental Economist, Biodiversity
<b>Other Gland</b>		
Pimbert	Michel	WWF Switzerland
<b>IUCN Washington</b>		
Brautigam	Amie	Species Survival Group
Edwards	Steve	Sustainable Use Initiative
Fernandez	Eduardo	Social Development Officer / Indigenous Peoples Prog.
Hajost	Scott	Executive Director
Hecht	Joy	
Steiner	Achim	Senior Policy Adviser
van der Linde	Harry	Sustainable Use Initiative
Waugh	John	Senior Programme Officer
<b>Other Washington</b>		
Cohen	Sheldon	Bionet
Horta	Korinna	Environmental Defense Fund
Johnson	Nels	WRI
McKinnon	Kathy	GEF
Mishra	Hemanta	GEF
Rees	Colin	ENW Department, World Bank
Reid	Walter	WRI
<b>ORMA</b>		

Aguilar	Lorena	Social Coordinator
Ayales	Ivannia	Social Psychology
Beltran	Enrique	IUCN Regional Council
Cisneros	Jesus	Membership Liaison Officer
Cordoba	Rocio	Wetlands Programme
Corrales	Leni	Information Systems consultant
Girof	Pascal	GIS consultant
Imbach	Alejandro	M&E Specialist
Imback	Paulo	Cartography consultant
Lahmann	Enrique	Regional Director
Madrigal	Patricia	Legislation
Marozzi	Marino	Economist
McCarthy	Ronald	Forest Protected Areas
Nunez	Justo Pastor	President, MesoAmerican Regional Members Committee
Perez-Gil	Ramon	Regional Vice-Chair, SSC
Rodriguez	Guiselle	Social Officer
Rojas	Estrellita	Documentation Centre
Salas	Alberto	Forestry Programme
Solis	Vivienne	Wildlife Coordinator
<b>Other MesoAmerica</b>		
Baltodano	Javier	Asociacion Ecologista Costarricense
Hernandez	Carlos	Mesa Regional Campesina
Rodriguez	Carlos Manuel	Deputy Superior Director, Sistema Nacional de Areas de Conservacion
Rodriguez	Silvia	Universidad Nacional Autonoma, Costa Rica
Rivas	Gabriel	Asociacion Ecologista Costarricense
Aragon	Javier	Asociacion Ecologista Costarricense
Porras	Carlos	Mesa Nacional Campesino
<b>BRAO</b>		
Kouda	Michel	Burkina Faso Country Director
Price	Thomas	Niger Deputy Representative
Sani	Arzika	Magistrate
Thiaw	Ibrahim	Regional Director
Tiega	Anada	Niger Country Director
<b>Other Niger</b>		
Ada	Laouali	Directeur de l'Environnement
Amadou	Ibrahim	initiatives locales, Gaya
Assiedou	Youssou	
ChaVbou		animateur de village, Gaya
Daouda	Idrissa	ONVPE . Chair, Comité de suivi
Daka	Mohamone	conseiller social, Gaya
Gambo	Soley	coordonnateur, Gaya
Garba	Adamou	Education and Communication Network, NGO Federation
Ibrahim	Ousmane	mesures de protection locales, Gaya
Issa	Abdou	Chef de Direction de Faune
Kimbaga		villageois, Gaya
Magha	Issaka	SDSA Coordinator
Ousmane	Bawa	Gaya Project Technical Assistant



Sala	Amadou	Executive Secretary, CNEDD
Sambo	Mamane	organisations locales, Gaya
Yacouba	Moussa	Comite nationale de la Code Rurale (secretariat)
<b>Others</b>		
Bodegård	Johan	Environment Ministry, Sweden
Hobbelink	Henk	Director, Genetic Resources Action International, Spain
Sandbrook	Richard	IIED, UK
Westman	Peter	Environment Ministry, Sweden

**DOCUMENTS CONSULTED**

**Sida**

Befolkning och miljö/naturresurser. [Population and environment/natural resources.] Internal PM, May 1996.

Fattigdom och miljö. [Poverty and environment.] Policy paper, July 1995.

Handlingsprogram för fred, demokrati och mänskliga rättigheter [Action plan for peace, democracy and human rights]. May 1997.

Marine and Coastal Resources. Framework for SIDA support to sustainable use of Marine and Coastal Resources and to the protection of the Marine and Coastal Environment. SIDA 1993.

Policy för miljöanpassat energibistånd. [Policy for environmentally adapted energy development assistance.] April 1996.

Some reflections on Sida framework agreement with IUCN. Unpublished discussion document, May 1997.

Sida verksamhetsberättelse [annual report] 1995/1996

Sustainable Management of Renewable Natural Resources. Action Plan for SIDA. SIDA 1992.

**General IUCN**

Annual Report 1995

External Review of the IUCN Programme 1994-1996 (April 1996)

Financial data in various forms (unpublished)

Framework for budget decision making. In DG report to Council Bureau, January 1997.

IUCN in the 21st Century. A Discussion Paper. January 1996

Membership List

Pocket Guide to IUCN 1996/1997

Programme Development Group Guidelines (Draft, February 1997)

Progress and Assessment Report 1994

Progress and Assessment Report 1995

Progress and Assessment Report 1996

Resolutions and Recommendations. World Conservation Congress, Montreal, Canada, 13-23 October 1996.

Triennial Programme 1997-1999 (Revised April 1997)

Workplans 1997

World Conservation 1-2/97. Special double issue Montreal Congress.

World Conservation Congress. Agenda and Documentation. IUCN, October 1996.

### **Global Programmes**

A Guide to the Convention on Biological Diversity. IUCN 1994 (Environmental Law Centre and Biodiversity Programme).

Batak Resource Management. Belief, knowledge and practice. January 1997 (Forest Conservation Programme)

Biodiversity Conservation Information System. Program Description. October 1996.

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## **ANNEX E**

### **ITINERARY**

May 14	Arrive Geneva
May 15-16	Discussions with IUCN Secretariat.
May 16	Depart Geneva
June 11	Arrive Stockholm
June 11-12	Discussions with Sida and IUCN representatives
June 12	Depart Stockholm
June 29	Arrive Geneva
June 30-July 2	Meetings with IUCN Secretariat
July 2	Depart Geneva
July 20	Arrive Washington DC
July 21-22	Meetings with IUCN Washington and others
July 22	Arrive Costa Rica
July 23-25	Meetings with ORMA and others
July 26	Depart Costa Rica
July 27	Arrive Niger via Paris
July 28-31	Meetings with BRAO and others
July 31	Depart Niger



## ANNEX F

TABLE A

**IUCN : 1997 APPROVED BUDGET**

	NON-SECRETARIAT			SECRETARIAT			TOTAL IUCN			% GP
	GP	Non-GP	TOTAL (F)	GP	Non-GP	TOTAL (F)	GP	Non-GP	TOTAL (F)	
Executive	0	0	0	0	396	396	0	396	396	0.0
Governance & constituency	0	298	298	0	1350	1350	0	1648	1648	0.0
CONSERVATION NETWORK DIR.:										
ADG policy & programme	0	0	0	584	0	584	584	0	584	100.0
Programme coordination	0	0	0	285	0	285	285	0	285	100.0
Conservation Policy Group	0	767	767	498	1117	1615	498	1884	2382	20.9
Ecosystem Management Group	150	1017	1167	1170	1232	2402	1320	2249	3569	37.0
Protected Areas Group	105	495	600	746	418	1164	851	913	1764	48.2
Species Survival Group	100	1554	1654	1403	507	1910	1503	2061	3564	42.2
Environmental Law Group	0	678	678	0	1350	1350	0	2028	2028	0.0
Socio-Economic Group	150	773	923	240	1075	1315	390	1848	2238	17.4
sub-total	505	5284	5789	4926	5699	10625	5431	10983	16414	33.1
REGIONAL PROGRAMMES :	95	35614	35709	2016	14820	16836	2111	50434	52545	4.0
COMMUNICATIONS & EDUCATION	0	536	536	0	2202	2202	0	2738	2738	0.0
INSTITUTIONAL DEVELOPMENT	0	0	0	369	650	1019	369	650	1019	36.2
MANAGEMENT SERVICES	0	344	344	0	4443	4443	0	4787	4787	0.0
CAFETERIA	0	0	0	0	315	315	0	315	315	0.0
DESIGNATED FUNDS	646	710	1356	0	100	100	646	810	1456	44.4
TOTAL ACTIVITY	1246	42786	44032	7311	29975	37286	8557	72761	81318	10.5

TABLE A (cont.)

## IUCN : 1997 APPROVED BUDGET (cont.)

	NON-GENERAL PROGRAMME				GENERAL PROGRAMME				TOTAL IUCN			
	Non-Sec.	Sec.	Total	%	Non-Sec.	Sec.	Total	%	Non-Sec.	Sec.	Total	%
Executive	0	396	396	0.5	0	0	0	0.0	0	396	396	0.5
Governance & constituency	298	1350	1648	2.3	0	0	0	0.0	298	1350	1648	2.0
<b>CONSERVATION NETWORK DIR.:</b>												
ADG policy & programme	0	0	0	0.0	0	584	584	6.8	0	584	584	0.7
Programme coordination	0	0	0	0.0	0	285	285	3.3	0	285	285	0.4
Conservation Policy Group	767	1117	1884	2.6	0	498	498	5.8	767	1615	2382	2.9
Ecosystem Management Gp	1017	1232	2249	3.1	150	1170	1320	15.4	1167	2402	3569	4.4
Protected Areas Group	495	418	913	1.3	105	746	851	9.9	600	1164	1764	2.2
Species Survival Group	1554	507	2061	2.8	100	1403	1503	17.6	1654	1910	3564	4.4
Environmental Law Group	678	1350	2028	2.8	0	0	0	0.0	678	1350	2028	2.5
Socio-Economic Group	773	1075	1848	2.5	150	240	390	4.6	923	1315	2238	2.8
sub-total	5284	5699	10983	15.1	505	4926	5431	63.5	5789	10625	16414	20.2
<b>REGIONAL PROGRAMMES</b>	35614	14820	50434	69.3	95	2016	2111	24.7	35709	16836	52545	64.6
<b>COMMUNICATIONS &amp; EDUCATION</b>	536	2202	2738	3.8	0	0	0	0.0	536	2202	2738	3.4
<b>INSTITUTIONAL DEVELOPMENT</b>	0	650	650	0.9	0	369	369	4.3	0	1019	1019	1.3
<b>MANAGEMENT SERVICES</b>	344	4443	4787	6.6	0	0	0	0.0	344	4443	4787	5.9
<b>CAFETERIA</b>	0	315	315	0.4	0	0	0	0.0	0	315	315	0.4
<b>DESIGNATED FUNDS</b>	710	100	810	1.1	646	0	646	7.5	1356	100	1456	1.8

TOTAL ACTIVITY	42786	29975	72761	100	1246	7311	8557	100	44032	37286	81318	100
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TABLE B

## FINANCIAL SITUATION FOR 1994-1996 (SFr \* 000)

ACTIVITY	1994				1995				1996			
	Total	Sec.	UR	GP	Total	Sec.	UR	GP	Total	Sec.	UR	GP
<b>EXECUTIVE</b>												
Director General's Office	942	942	937		916	916	913		776	776	776	0
ADG Constituency	574	544	278		589	589	311		575	555	575	0
ADG Conservation Policy	526	524	98	282	965	965	192	761	572	572	90	482
Subtotal	2,042	2,010	1,313	282	2,470	2,470	1,416	761	1,923	1,903	1,441	482
<b>MANAGEMENT SUPPORT GROUP</b>												
Global Policy & Council & Membership	490	490	390	100	560	560	391	169	668	668	607	61
Budget & Financial	1,193	871	905		1,157	1,116	1,076		1,272	1,169	1,163	0
Fundraising Unit *	738	545	193		660	660	155		687	735	385	0
Financial Monitoring	1,444	1,444	313		1,387	1,387	342		802	802	452	0
Communications	2,297	1,857	1,658	177	2,240	1,887	1,860		1,167	1,185	345	0
Information Management	1,068	1,068	172		1,062	956			1,500	1,403	1,251	110
Human Resource	479	479	48		564	564			1,090	1,090	(74)	0
Office Administration	1,428	1,191	73		1,380	1,145	78		798	798	38	0
Subtotal	9,137	7,944	3,752	277	9,010	8,275	3,902	169	1,123	1,123	(22)	0
<b>CONSERVATION NETWORK GROUP</b>												
Biodiversity Conservation	1,358	989		270	1,270	1,270		350	1,500	1,310	0	350
Marine & Coastal	738	642		481	330	400		478	680	654	0	425
Wetlands	4,917	854	14	325	687	690		400	650	544	0	250
Forest	951	842		800	745	885		850	900	643	0	883
Natural Heritage	425	425		83	350	350		80	400	380	0	40
Protected Areas	1,189	679		400	400	700		552	850	763	0	463
Species	1,901	1,497		772	1,140	1,240		800	1,500	1,320	0	700
Species UK/USA				101	177	142		106	300	300	0	100
Sustainable Use Initiative	440	354		80	341	341		219	500	420	0	205
Social Policy HQ	676	730			800	800			750	639	0	400
Social Policy Washington				561				608	170	162	0	80
Environmental	537	513		304	430	470		350	0	0	0	0
Environmental Law	1,532	1,167	45	850	1,600	1,196	60	933	1,650	1,340	60	1,003
Conservation Strategies	916	719		200	540	540		526	650	528	0	360
Environmental Education	531	366		290	390	370		285	400	355	0	275
Subtotal	16,111	9,777	59	5,517	9,200	9,395	60	6,537	10,900	9,358	60	5,533
<b>REGIONAL PROGRAMMES</b>												
Regional Support Group	981	701	28	203	2,092	1,967	617	796	1,570	1,554	442	300
<b>BASED AT HQ:</b>												
North Africa, West & Europe	974	375			947	410		180	1,100	406	0	180
	1,116	550	190		1,559	781	336	49	1,600	925	300	0
<b>BASED IN THE REGION:</b>												
Meso America	2,145	605	238	435	1,756	663	149	418	2,000	740	160	220
South America	1,145	727	147		869	532	105	266	1,400	1,040	130	565
Central Africa	557	281		100	1,839	338	105		2,600	440	110	160
West Africa	3,984	1,775		1,254	6,211	1,510	240	373	5,700	1,742	250	300
East Africa	5,948	1,907	337	500	5,659	1,925	275	540	5,800	2,020	280	598
Southern Africa	3,013	1,417	228	500	3,935	1,312	245	555	5,200	2,163	270	370
S & South East Asia	3,754	1,621	48	632	3,810	1,283	286	615	3,600	1,952	260	795
NE Asia, Asia/Pacific		0		100				100	100	100	0	100
Pakistan	2,268	552	166		2,908	1,482	210	0	4,800	2,230	180	90
Canada	46	46	27		517	319	71	0	470	400	50	0
USA	891	891	473	200	893	853	530	248	1,000	930	500	290
Subtotal	26,823	11,448	1,882	3,924	32,995	13,376	3,169	4,139	36,940	16,642	2,932	3,968
<b>FUNDS</b>												
Commissions, Committees, Task Forces:												
- Commissions Operation	566	566	52	470	838	838	105	679	740		155	545
- Monitoring & Evaluation	0	0							80	80	0	80
- Reg. & Nat. IUCN	293	136		120	350	350		350	300		0	300
Institutional Development:												
- Project Development	2	2			45	45			100		0	0
- Network Development	30	30		30	500	500		500	185	185	0	185
- Institutional	172	172		420	688	688		420	400	200	0	400
- Training		0			286	286		285	100	100	50	50
Governance:												

- President & Council	157	157		100	117	117		120	135		0	135
- World Conservation	766	766	430		111	111	300		350	350	350	
- Contingency Reserve	812	812	212	600	223	223	100	123	200	200	200	0
Grant to WCMC	466	466		466	373	373		373	320		0	320
Grant to TRAFFIC	0	0			185	185		185	183			120
Others:		0				0						
- DG's Discretionary	34	34	34		52	52	52		50	50	50	0
- Miscellaneous	164	164	70	100	547	547	738	169	442	50	50	242
Subtotal	3,462	3,305	798	2,306	4,315	4,315	1,296	3,203	3,585	1,215	855	2,377
<b>TOTAL ACTIVITIES</b>	<b>57,575</b>	<b>34,484</b>	<b>7,805</b>	<b>12,305</b>	<b>57,990</b>	<b>37,830</b>	<b>9,843</b>	<b>14,809</b>	<b>62,455</b>	<b>38,090</b>	<b>9,482</b>	<b>12,635</b>

**Note** : The GP heading in this table includes other categories of funds. Total GP income for 1994, 1995 and 1996 was SFr. 7,979 , SFr. 7,448, and SFr. 8,584 respectively.

TABLE C

**EXPENDITURE BY PROGRAMME (1996)**

ACTIVITY	%
Communications and environmental education	5
Biodiversity	9
Environmental assessment	1
Conservation strategies	8
Environmental Law	3
Forest	13
Marine and coastal	3
Wetlands	14
Natural Heritage	1
Protected Areas	4
Species	2
Socio-economic sustainability	5
Sustainable use of wildlife	1
Institutional development	9
Networking	4
Executive, governance, finance and administration	18
TOTAL	100

Source : IUCN Progress and Assessment Report 1996

## ORMA - Meso America

The following are slightly abbreviated programme objectives from 6 different sources. These illustrate inconsistency and lack of clarity in the expression of objectives.

### ***IUCN Programme 1994-96: Objectives for the triennium***

1. Strengthen the technical and administrative capacity of IUCN members, and other regional and national institutions for managing natural resources in a sustainable manner
2. Enhance the capability of members and partners to participate more effectively in the decision-making process (at both national and regional levels)
3. Establish a network of expertise and know-how in natural resource management which will contribute to sustainable development in the region

### ***IUCN Handbook 1996/97: Objectives and approach***

1. Promote sustainable development by supporting sustainable use of natural resources.
2. Influence local, national and regional conservation policies in Meso-America
3. Strengthen capacity of IUCN members and partners
4. Promote and facilitate communication among different actors

### ***Progress and Assessment Report 1994: Long-term development objectives of the programme***

1. Influence decision-makers on policies that affect implementation of *Caring for the Earth*
2. Promote the participation of civil society in the management of natural resources
3. Facilitate inter-sectoral co-ordination for the management of natural resources

### ***Progress and Assessment Report 1995: Objectives***

1. Work closely with members and partners in the region
2. Develop a regional programme for networking secretariat, members and commissions
3. Promote the systematisation of IUCN expertise and disseminate information
4. Develop and evaluate IUCN structure and activities in MesoAmerica

### ***Progress and Assessment Report 1996: Objectives***

1. Strengthen and develop the capacities of IUCN constituents
2. Promote compilation of IUCN experiences and disseminate information learnt
3. Promote change in the work style of IUCN to facilitate collaboration with constituents

### ***ORMA strategic plan 1995-2000 (out of phase with HQ planning triennium): Strategic objectives***

1. influence policymakers who threaten the implementation of "Caring for the Earth"
  - a) Consolidate a participatory and decentralised leadership style
  - b) Promote the regional alliance making use of IUCN's strategic strengths

2. Strengthen the participation of civil society in management of sustainable development
  - a) Improve institutional function of ORMA, promoting strategic planning processes leading to clarification of priorities, raising the quality of decisions, negotiations and management; further to stabilise financial flows and guarantee positive impact of output, collection of experiences and construction of institutional memory.
  - b) Offer the necessary services for consolidation of National Members' Committees.
  - c) Increase quality of participation of members and allies.
3. Facilitate the involvement of target sectors in decision-making and management of natural resources.
  - a) Raise public profile of partners and members, through capacity-building
  - b) Stimulate innovative action in priority thematic areas
  - c) Establish information and communication systems that can secure needed inputs for development of new capacities
  - d) Facilitate co-operation between members and allies
  - e) Promote a system of M&E within the framework of the Strategic Plan

**ORMA Annual programme and project title, donor and spending profile\*\*\*:**

	1994 *	1995 *	1996 **
<b>Regional</b>		Regional Office programme - GP funds - ?	
		Institutional Development Fund - IDF - SFR 32k	
		Institutional Networking - NDF - SFR 44k	
		Regional Members meeting - WAF - SFR 41k	
	Gender Programme B DANIDA - \$112k	**** - DANIDA / Dutch / CIDA - SFR 227k	
	Wetlands Programme B various - \$128k		
	Gulf of Fonseca Profile (Honduras/El Salvador/Nicaragua) B DANIDA - \$12k		
	Sustainable Use of Wildlife - NORAD - \$149k	**** - NORAD - SFR 22k	
	Wildlife Legislation B various - ?		
	Forest Management in Central America - BMZ - \$132k	**** - BMZ - SFR 42k	
	Computerized Forest Assessment - DANIDA - \$25k		
		Regional Analysis of Coastal Zone Management - BID - SFR 23k	
<b>Belize</b>	Coastal Management - EC - \$8k	**** - EC - SFR 17k	
<b>Costa Rica</b>	Gender Programme in Terraba-Sierpe - DANIDA - \$109k		
	Hatos Health - Univ Utrecht - \$34k		



	Wetlands Identification Strategy - IUCN - \$33k	"" - Dutch - SFR 61k	
	Development of Indigenous and Campesino communities in Talamanca - SIDA - \$128k		
		Mangrove Management Plan - CATIE - SFR ?	
<b>El Salvador</b>	Jocotal - WWF - \$6k		
		EIA workshop - UNEP/CIDA - SFR 48k	
<b>Guatemala</b>	Peten Forestry Project B DANIDA - \$134k		
<b>Honduras</b>	Coastal and Marine Programme - IDB - \$66k		
<b>Panama</b>	Management and Conservation of Eastern Forests - BMZ - \$107k	"" - BMZ - SFR 212k	

\* source: Annual Progress and Assessment Reports, 1994, 1995.

\*\* no detail in 1996 Progress and Assessment report

\*\*\* considerably underspent (or underfunded?) on virtually every project, some up to 50%

## **BRAO - West Africa**

The following are slightly abbreviated programme objectives from 7 different sources. These illustrate inconsistency and lack of clarity in the expression of objectives.

### ***IUCN Programme 1994-1996: Objectives for the Triennium***

1. Reinforce national and local capacity in natural resource management
2. Assist with creating national and regional networks on the environment
3. Develop and implement a strong environmental communication and education programme
4. Strengthen collaboration with regional institutions
5. Decentralise programme management
6. Establish training support activities

### ***IUCN Handbook 1996/97: Objectives and approach***

1. Definition of long-term global vision for IUCN in West Africa
2. Co-ordination of overall actions between National Offices and Programmes
3. Information exchange and constitution of networks of expertise
4. Financial consolidation and analysis

### ***IUCN Internal Review of West Africa programme Aug 1996: Characteristics of the programme***

1. Strengthening of national and regional institutional capacities
2. Implementation of demonstration projects
3. Environmental education and awareness raising

### ***Progress and Assessment Report 1994: Programme's operational pillars***

1. Develop demonstration projects in the field
2. Develop policy dialogue through participation in national and regional fora
3. Build capacity among members and partners to implement projects

### ***ditto: Objectives for the period***

1. Develop partnerships with local and national interest groups
2. Develop education and training in support of these partnerships

### ***Progress and Assessment Report 1995: Main objectives***

1. Develop effective decentralised working
2. Improve responsiveness to and consultation with members
3. Develop Commissions and national and regional networks
4. Improve member participation in programming, implementation and monitoring
5. Improve cost-effectiveness of financial and human resources
6. Develop fund raising strategy

### ***Progress and Assessment Report 1996: Objectives***

1. Reinforce local, national and regional capacity for natural resource management
2. Contribute to improvement and development of political relationships and legal frameworks
3. frameworks

4. Assist members and partners in building capacity to participate in global debates
5. Develop and implement a strong environmental communication and education programme
6. Strengthen collaboration within regional institutions
7. Strengthen the planning process and the implementation of the management of coastal and marine resources
8. Promote biodiversity and ecosystem conservation through PA management

These are regional programme objectives. The national objectives tend to reflect these, but are written in yet more diverse forms and elements. For example:

***Niger progress and assessment report (1996): country objectives***

1. Build increasingly effective relationships with members and partners
2. Influence national policies and legislative reforms
3. Augment synergy between field efforts, support to research and national initiatives affecting the environment.
4. Consolidate IUCN reputation as a forum for non-partisan ideas, information and reflections on the environment

***BRAO Annual programme and project title, donor and spending profile\*\*\*\*:***

	1994 *	1995 *	1996 **
<b>Regional</b>	Decentralisation of Programme - GP funds - SFR 780k	Under Niger Country Office - GP funds - SFR ?	
	Regional Environmental Education Programme - BMZ - SFR 114k		
	ASahel - Sahel@ report - NORAD - SFR 28k		
	Support for Desertification Convention - NORAD - SFR 16k		
<b>Benin</b>	PA Strategy for Benin - PGRN - SFR 171k		
<b>Burkina Faso</b>	PA Management in Eastern BF - SDC B SFR 89k	**** - DDA - SFR ?	
	Develop Wetlands Action Plan - IUCN Wetlands Prog -SFR 2k		
	Country Office - GP funds -SFR 223k	**** - SFR ?	
	Programme development - GP funds B SFR 37k	**** - SFR 29k	
		WA Regional meeting - IUCN - SFR 36k	
		Traditional water management - UNICEF - SFR 22k	
<b>Cote d'Ivoire</b>	Azagny and Comoe NP analysis B EU/MINAGRA - SFR 141k		
<b>Ghana</b>	PA Management planning - MLF Ghana - SFR 323k	**** - WB - SFR ?	

<b>Guinea-Bissau</b>		Coastal Zone conservation and management - DDA - SFR 1,130k	
		Bijagos Archipelago conservation and management - DDA - SFR 295k	
<b>Mali</b>	Ecological Profile research - NORAD B SFR 22k	**** - SFR 13k	
	Country Office - GP funds -SFR 189k	**** - SFR ?	
	Programme development - GP funds B SFR 41k	**** - SFR 26k	
		Desertification Convention - NORAD - SFR 69k	
		Scientific and Technical Networks - NORAD - SFR 375k	
<b>Niger</b>	Inland Wetlands manual - IUCN Wetlands Prog - SFR 52k		
	Gaya Village Management - SDC B SFR 520k	**** - DDA - SFR 731k	****
	Air-TJnJrJ NR - SDC/DANIDA B SFR 402k	**** - DDA / DANIDA - SFR 19k	closed for security
	Environmental Education - DANIDA B SFR 246k	**** - SFR 164k	****
	Woodless Construction training B DANIDA - SFR 458k	**** - SFR 496k	****
	Country Office - GP funds -SFR 355k	**** - SFR ?	
	Programme development - GP funds B SFR 14k	**** SFR 25k	
		Study of Investments in Biodiversity - IUCN WCMC - SFR 7k	
<b>Senegal</b>	Djoudj Management Plan - IUCN Wetlands Prog - SFR ?	**** - Netherlands - SFR 144k	
	NP managers training - Dutch government - SFR ?	**** - SFR 41k	
	Niokolo-Koba NP 40 yrs celebration B GP funds ?		
	Country Office - GP funds -SFR 225k	**** - SFR ?	
	Programme development - GP funds B SFR 22k	**** - SFR 22k	
		National Wetlands programme design - Netherlands - SFR 44k	

\* source: Annual Progress and Assessment Reports, 1994, 1995.

\*\* no detail in 1996 Progress and Assessment report

\*\*\* considerably underspent (or underfunded) on virtually every project, some up to 50%

**IUCN involvement in Costa Rica biodiversity law draft 1996**

5 February

Formal request from Luis Antonio Martinez, Chair of the Environment Committee in the Costa Rican Congress, for assistance in drafting a law proposal for comprehensive regulation of biodiversity conservation and use. Request immediately forwarded with note from ORMA Director to ELC and BPP.

February

ORMA Director proposes broad consultation process to Congressman Martinez, but accepts his argument to limit consultation in order to finalize drafting in time for presentation to Congress before end of present session.

Two staff from Wildlife programme commissioned to work with Martinez and his aides.

April

Internal agreement concluded between ORMA and ELC for part-financing of ORMA work from ELC budget.

May-June

ORMA organizes some consultations with representatives of indigenous and peasant communities, the scientific sector and the legal sector.

7 June

Draft delivered to Martinez.

10 June

Proposal introduced in Congress by Martinez.

11 June

ORMA Director contacts Environment Minister Rene Castro and requests a meeting to personally discuss the draft document. Strong negative reaction from the minister same day, including threats to completely break relations with IUCN.

12 June

ORMA Director informs DG personally by telephone, and DG sends a conciliatory fax message to the minister.

June-August

In the next few days, similar reactions reach IUCN HQ by informal channels from several people connected to the Environment Ministry and to InBio (the National Institute for Biodiversity; despite its name not a public institution, but with close links to the CR government and with delegated powers to regulate biodiversity prospecting in CR).

There is also heated discussion in Costa Rican press, and several public discussions hosted mostly by academic institutions, both with some participation by ORMA Director and staff.

Main controversial points are

- limited consultation, in particular lack of consultation with the Environment Ministry
- the creation of a new, independent National Biodiversity Commission, with sectoral representation including peasants and indigenous peoples, which would take over some present responsibilities of the Environment Ministry, notably the permit authority for bio-prospecting
- the limitations on intellectual property rights, notably ban on patenting of human genes
- the far reaching measures for public information and participation
- the strict regulation of biotechnology
- the strong emphasis on public domain character of biodiversity.

25 June

Formal protest from Environment Minister Castro to IUCN DG for "intrusion and interference" in CR government affairs.

Informally, there are demands from the Ministry that the two staff concerned be fired.

30 July

On orders from the DG, the ORMA Director issues a memorandum establishing that no ORMA staff may henceforth participate in any public discussion on the matter, nor make any statements in whatever form, including orally, in letters, email etc.

On the same day, the President of the Costa Rican Congress in a letter to the IUCN DG expresses his gratitude for the services offered by IUCN.

8 August

The IUCN DG asks the BPP and ELC Directors to write a joint policy paper on the issues raised by the Costa Rica events.

24 August

ELC staff comment on the draft law in a letter to ORMA. There is detailed criticism of a number of technical details, but no discussion of the substance, except for an introductory observation reproaching ORMA for having mixed policy statements in with the formal regulation of biodiversity conservation procedures.

27 August

In their paper to the DG, the BPP and ELC Directors argue that IUCN need not have any specific substantive policy on any of the controversial issues in the CBD, but should restrict itself to clarifying the options available to Parties. Regarding internal process, they similarly emphasize the need to stay on a strictly technical level, and that HQ oversight of regional policy activity should be strengthened.

October-November

The Environment Committee makes a renewed request for assistance with redrafting of the proposal, this time directly to the DG. The DG offers collaboration on two conditions. 1/ Assistance will be given by non-Costa Rican experts. 2/ Congress will have to request assistance through the Ministry of Environment.

Under those circumstances, the Environment Committee withdraws its request, noting that

- it would be odd to use foreign assistance for a national law when there is no lack of Costa Ricans with both technical expertise and local knowledge
- it is inconsistent with the principles of division of power for a parliament to have to pass through the executive branch in a matter entirely within its proper competence.

## **ANNEX J**

### **Guidelines for SIDA support to biodiversity**

SIDA's approach to biodiversity has been guided by a number of considerations: an analysis of current biodiversity issues and priorities; requests from developing countries; progress with existing initiatives; the availability of Swedish expertise; and the overall objectives of the Swedish aid programme. With these in mind, six strategic guidelines have been determined:

- (1) The effects on biodiversity shall, where relevant, be explicitly considered by all programmes in all sectors;
- (2) The conservation and use of biodiversity shall be an integral part of SIDA's support to programmes of sustainable natural resources management;
- (3) SIDA shall give priority to biodiversity within areas of biological production, and assistance should be targeted at the sustainable use of biodiversity;
- (4) SIDA shall focus on local needs and use-values of immediate importance to resource-poor households dependent on agriculture, forestry, and marine resources; and will seek to promote local control over natural resources and biodiversity;
- (5) SIDA shall give selective support for specific biodiversity activities, for example capacity building and development of models and methods;
- (6) SIDA shall liaise with other donors and with NGO's and follow the international development of biodiversity initiatives.

#### **• (1) Consideration of effects on biodiversity in all programmes**

Most biodiversity loss stems from forces and trends in the wider economy. Development assistance can also be a significant force for the conservation or loss of biodiversity. For these reasons SIDA needs to ensure that, as far as possible, its assistance in all sectors supports development which maintains biodiversity. Small changes towards ecological sustainability over the wide range of development assistance will do more for biodiversity than will dramatic action to "save" endangered pockets of diversity.

It is important that general SIDA policies do not conflict with the goal of maintaining the maximum biodiversity. A specific objective is to ensure that the planning and implementation of projects explicitly considers the impacts on biodiversity, and that identified negative impacts are minimised. This will be achieved by ensuring that the environmental assessment of SIDA supported programmes and policies includes the effects on biodiversity.



General environmental assessments are already an accepted part of SIDA appraisal procedures, but additional efforts will be made to raise the awareness and skills of programme staff on biodiversity issues.

- **(2) Integration of biodiversity in natural resources programmes**

The inclusion of biodiversity as an integral part of all SIDA natural resources programmes supported by SIDA, will produce more effects than specific and separate biodiversity initiatives. Such initiatives will still be justified, but the primary objective should be to integrate biodiversity use and conservation within the mainstream of natural resources development. The aim will be to integrate gradually activities on biodiversity in all existing and new SIDA programmes. This will be achieved by:

- making studies of biodiversity issues in on-going programmes;
- ensuring that consideration is given to the conservation and sustainable use of biodiversity during the design and appraisal of new projects;

How biodiversity issues can be most effectively integrated within natural resources programmes of different types is likely to vary according to the sector in focus: agriculture, forestry, or aquatic resources. The integration will start with studies of a selection of existing programmes. The conclusion of these studies will form the basis for a further process of integration of biodiversity in all natural resources programmes.

- **(3) Biodiversity for sustainable production**

One of the main arguments of this paper has been that biodiversity is best addressed as one aspect of development assistance aimed at promoting sustainable livelihoods for the poor, rather than as a separate objective requiring separate action. The risk of the latter approach is that the extent to which biodiversity loss is caused by aspects of the development process itself, and the extent to which biodiversity conservation and use could contribute to sustainable development, will be ignored. SIDA's biodiversity objectives should be subsumed under a broader goal: ensuring sustainable livelihoods for the poor through sustainable natural resources management. Erosion of biodiversity will continue to result from unsustainable development, while biodiversity use and conservation are means to sustainable development. Biodiversity cannot and should not be addressed in isolation.

SIDA is likely to require a focus on semi-natural agro-ecosystems and coastal ecosystems. More poor people depend on these ecosystems than on wildlands. Biodiversity of local value to poor communities also receives relatively little support from international agencies and funds compared with

the conservation of wild ecosystems and sites of global importance. SIDA's support could contribute to redress this imbalance.

SIDA will also support natural resources management programmes which focus on biodiversity and contribute directly to increasing and/or sustaining agricultural production. Current examples include gene banks in Southern Africa and the Community Biodiversity Development and Conservation programme, that tries to link the knowledge between local farmers and institutions and gene banks.

- **(4) Focus on local needs and resource-poor households**

SIDA support to biodiversity should give priority to programmes that bring direct benefits to poor people. The potential of biodiversity which is directly used by, or essential for, the livelihood security of the poor will include intraspecies diversity, as well as wild ecosystem diversity providing services to the production landscape. There are a wide range of possibilities for support: the conservation and sustained production of local crop and livestock varieties; for non-timber forest products; for coastal habitats of importance to particular artisan fishing communities; or for national scientists and the use of local knowledge systems.

- **(5) Support to specific activities**

As stated in the Biodiversity Convention, a priority objective must be the development of national policy frameworks that foster the conservation and sustainable use of biodiversity. Many existing economic policies and legal frameworks are actively harmful for biodiversity, and need to be revised. SIDA will support partner countries which are committed to reviewing and implementing national policies. Parallel support is required to strengthen the agencies and institutions responsible for biodiversity conservation and use.

Too few have the necessary skills, personnel or resources to be effective. Support for general awareness raising and education, particularly for policy makers, may also be required.

An argument thus exists for some, targeted, action in support of biodiversity. Opportunities for impact may exist which cannot be met within wider natural resources programmes. SIDA will concentrate its support for special biodiversity programmes to three areas:

- the reform and development of national policies in SIDA partner countries;
- the strengthening of national capacity, institutions, and general biodiversity awareness;
- research and development, particularly the development of methods and models for sustainable use and conservation of biodiversity;

- **(6) International co-ordination**

SIDA is fundamentally a bilateral support in its biodiversity programme. However, local action to conserve and sustainably "use" biodiversity will be most successful within a supportive national, regional and international framework. Also, the advantages of working through NGO's should continue to be built upon, and be further explored.

Due to their sizeable resources and influence the global programmes - notably the Global Environment Facility (GEF) and other implementing mechanisms related to the Convention on Biodiversity - will have major impacts on what individual development agencies can achieve on their own. SIDA will therefore continue to follow, cooperate with, and contribute to international biodiversity initiatives and a selection of initiatives of regionally strategic importance. Close co-ordination will be maintained with the Swedish Ministries for the Environment and for Foreign Affairs.

Source : *Biological Diversity - Guidelines for Sida support for the sustainable use and conservation of biodiversity* (Sida, Natural Resources Management Division, 1994).

