IUCN – The World Conservation Union

Internal Strategy Review
IUCN Regional Office for Southern Africa (ROSA)

January 2004

Final Report

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1   Introduction

The Internal Strategy Review of IUCN Regional Office for Southern Africa (ROSA) built on extensive work undertaken by ROSA over the past several years to assess their own performance and to seek improved organisational performance. The Internal Strategy Review aimed to capture this learning and use it develop an agreed series of actions for the short, medium and long term that will be needed to improve the management and delivery of the IUCN Programme in ROSA.

The review objectives were adjusted on the first day of the week long exercise to focus on the following:

1. Review the positioning of the IUCN ROSA Programme, including an analysis of the ROSA situation analysis, the regions' niche identification and the process of programme development for the 2005-2008 IUCN Intersessional programme

2. Assess and make recommendations for short, medium and long term change to the current organisational model in relation to:

    a. Management and administrative structures and processes
        i.   Decision making and leadership including internal communications
        ii. Financial management
        iii. Human Resources Management
    b. Programme management
        i.   Structure – roles and responsibilities, including coordination
        ii. Dealing with new and innovative issues
        iii. Horizontal and vertical linkages
        iv. M&A systems (short and long term)
        v.   Fundraising
        vi. Strategic partnerships, including membership and commission and HQ engagement, private sector and civil society
    c. Governance
        i.   Regional Advisory Committees, national committees etc

The review did not attempt to independently verify the earlier conclusions or data provided to the review team. Nevertheless, the degree of consistency of opinion among senior managers in ROSA that the correct issues had been identified was taken as an adequate basis to proceed with the refocusing.

1.1   Methodology and Process

The main stages of the refocusing were:

➢ Initial preparation by IUCN ROSA staff and consultants including preparation of reports and collation of documents;

➢ Preliminary briefing by the ROSA Senior Management Group and regular feedback from Senior Managers during the refocusing week;

➢ Participatory workshops and group sessions;

➢ Analysis and preparation of report; and

➢ Presentation and discussion of the basis of the report.

The review was conducted over a one-week period from 26th to 30th January 2004

Outlines of the methodologies used are provided in Annexes 1 & 2, and the key issues and questions that guided the development of the interviews and group sessions are attached as Annexe 3 to this document.

2   Review Team and Steering Group

The team for this review comprised William Jackson, Director Global Programme, Bihini Won Wa Musiti, Regional Programme Coordinator, Central Africa and Mine Pabari Regional Programme Manager, Eastern Africa.

The Senior Management Group of IUCN ROSA acted as the steering group for this review and, along with the Regional Director, was the primary consumer of the results. The Regional Director provided guidance where necessary prior to and during the review.

2.1   Limitations of the Study of the IUCN

The review team did not collect primary data from stakeholders other than the secretariat present in ROSA during the review meetings. The study was not part of the conventional IUCN review series, but rather focused on helping IUCN in Southern Africa find a more strategic focus by reflecting on a considerable body of written material, including previous reviews and the programme documents, and working in a facilitative manner with ROSA staff. Annex 4 provides a full list of documents reviewed by the ISR team during the refocusing process.

2.2   History of Previous Reviews

The following are some of the reports from internal reviews and assessment processes that contributed to the overall ISR process. The list is not exhaustive, but rather selects those reviews that were of primary relevance to the refocusing task.

- Towards Organisational Development at IUCN ROSA. The Office of the Regional Director. February 2001

- Regional Organization Model-IUCN-ROSA. 2001-2002

- Growing and Developing Strategic Relationships with Members & Partners in Southern Africa. Report on the IUCN ROSA Strategic Relationship Survey. IUCN ROSA Information and Marketing Unit. Based on the report from Argil Facilitation. 2002

- Recommendations on Performance Management System for ROSA. Saliem Fakir, Country Programme Coordinator, IUCN-SA. 2004

- ISR Questionnaire Analysis. Veronica Muthui. 2004

3   Positioning of the IUCN ROSA Programme

The following section describes the outcomes of the analysis of the review of the positioning of the IUCN ROSA programme.

3.1   Situation analysis

ROSA completed a situation analysis for the region as part of their intersessional planning process (see ROSA, 2003). The analysis was presented to members in a regional members meeting held in November 2003. The analysis provided a reasonable analysis of the condition and trends of people and ecosystems in Southern Africa and lists the pressures being exerted on the environment by human activities. It does not clearly provide a description of the underlying forces driving these pressures, nor does it identify the major responses to the pressures. A related stakeholder/institutional analysis for the region identifies key partners and competitors, but does not provide a compelling argument for an IUCN niche in Southern Africa. The situation analysis identifies 29 issues for Southern Africa.

Subsequent to the members meeting, the situation analysis was summarized into the ROSA intersessional programme plan and the issues clustered into 5 groups:

- o Constraints to biodiversity conservation and natural resources
- o Constraints to social equity in relation to biodiversity conservation and NRM
- o Constraints to sound conservation incentives including financing
- o Constraints to effective application of international and regional conventions
- o Constraints to sound ecosystems management and sustainable livelihoods

The refocusing exercise concluded that the summary needed to be revised to better reflect the top six issues facing southern Africa. Accordingly, these issues were defined under the Key Result Areas of IUCN Global programme as follows

1   Issues within KRA 1

1.1   Inadequate knowledge on the status & trends of ecosystems, habitats & species
1.2   Inadequate Knowledge of magnitudes of impacts of external factors (eg climate change, alien invasive species etc)

2   Issues within KRA 2

2.1   Inadequate exploration of local knowledge and culture for improved NRM at local level

3   Issues within KRA 3

3.1   Lack of knowledge on the impact of macro-economic policy and practice on natural resource and environment

4   Issues within KRA 4

4.1   Inadequate regional and national capacities to effectively domesticate international conventions and agreements in a cross-sectoral manner
4.2   Inadequate regional and national skills to ensure incorporation of regional and national concerns into international agreements, policies and conventions

5   Issues within KRA 5

5.1   Inadequate Ecosystem management practices
5.2   Inadequacy of policy, legislative & institutional frameworks for effective environmental management
5.3   Inadequacy of policy, legislative & institutional frameworks for addressing threats to ecosystem health
5.4   Inadequate policies & strategies to effectively address inequity issues in natural resource management
5.5   Inadequate capacity for the use of scientific data for ecosystem management
5.6   Lack of incentives for sustainable resource use
5.7   Policies not adequately informed by data/research
5.8   Insufficient capacity for the incorporation of environmental considerations in planning & implementation of poverty alleviation programmes
5.9   Lack of knowledge for optimal and sustainable use of natural resources

3.2 Niche

The ROSA Programme staff used the situation analysis and feedback from the members meeting to identify a niche for IUCN ROSA. It was agreed that the niche did not capture the true positioning of the IUCN Programme in Southern Africa and after a participatory exercise the niche was redefined as:

o IUCN ROSA is the regional conservation organisation that works with its membership to further solutions to conservation and sustainable development issues. IUCN ROSA is the recognised and trusted partner that:

  o Advocates national, regional and global environmental policy, and ensures implementation and effectiveness through its influence on governance

  o Synthesizes, interprets and disseminates knowledge on biodiversity conservation and ecosystem management tools

  o Convenes and facilitates networks of IUCN members, commissions and partners, which allow local communities, civil society and governments to engage

  o Harnesses the capacity in the region to empower members to achieve improved environmental management

  o Promotes and encourages conservation livelihoods which enable the restoration of habitats and improve the productivity of land and seascapes

  o Applies innovative practices towards the conservation and management of ecosystems that include and reflect environmental, economic and social concerns

  o Catalyses financial resources for conservation

Subsequently, ROSA staff revised the region's mission, vision, values and principles as follows:

o **Mission**

  o To facilitate and strengthen an integrated approach for the sustainable and equitable use of natural resources and conservation of biological resources

o **Vision**

  o To be a world class partner for greater environmental and human security in Africa

o **Values**

  o Scientific Leadership

  o Partnerships

  o Innovation

  o Learning

o **Our Principles**

  o Conserve biological diversity, taking into consideration

    ▪ Human and environmental security;

    ▪ Equity in relation to gender, race, ethnicity, class and religion;

    ▪ Stakeholder participation

3.3 Programme Objectives and Results

After analysis of the issues reflected in the Programme document, it was agreed that the draft 2005-2008 Programme objectives and results needed some revision in order to ensure that i) The Quadrennial Results addressed the key issues identified by the Situation Analysis (as revised by the refocusing exercise); and ii) the results aimed to address these issues at the outcome level – reflecting changes that needed to be brought about with respect to performance & capacity. Additionally, it was agreed that there was a disconnect between the Programme objectives and the results, and that the objectives should be removed and reflected within the programme narrative.

The Quadrennial Results were redrafted as follows:

(1) UNDERSTANDING BIODIVERSITY

1.1 Knowledge on the status & trends of ecosystems, habitats & species enhanced

1.2 Appropriate tools & systems for improved monitoring and assessment of the status and trends of ecosystems, habitats & species developed and promoted

1.3 Quick response mechanisms for addressing threats to ecosystem health developed and promoted

(2) INTERDEPENDENCE OF SOCIAL EQUITY & NATURAL SYSTEMS

2.1 Improved understanding of local knowledge and its value for natural resource management

2.2 Best practices in CBNRM documented & disseminated

(3) CONSERVATION INCENTIVES & FINANCE

3.1 Knowledge on the impact of macro-economic policy & practice on NR & Environment enhanced

3.2 Increased knowledge of local communities, civil society and Governments of the value of natural resources

3.3 Increased understanding of conservation incentives contributing to improved natural resource management

3.4 Conservation incentives for improved natural resource management developed and promoted

3.5 Diverse resource use options identified and documented

3.6 Increased application of innovative financing mechanisms for biodiversity conservation across the Southern Africa region

(4) REGIONAL & INTERNATIONAL AGREEMENTS, PROCESSES & INSITUTIONS

4.1 Enhanced regional, national and local capacities to interpret and incorporate international conventions and agreements into regional & national policies and protocols

4.2 Enhanced awareness of local communities and civil society on the obligations and implications of international and regional conventions and agreements

4.3 Governments and key decision makers encouraged to involve local communities and civil society in regional and international agreement processes

4.4 Enhanced regional capacity to influence international and regional conventions and agreements

4.5 Enhanced capacity of policy and decision makers to engage in transboundary ecosystem management

4.6 Development and enforcement of transboundary protocols and agreements supported

4.7 Establishment of effective Institutional frameworks for transboundary ecosystem management facilitated
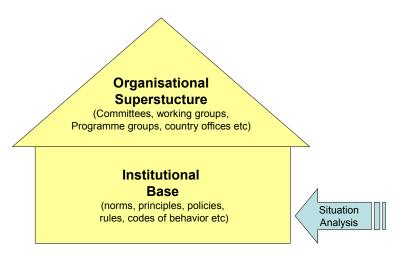
(5) ECOSYSTEMS & SUSTAINABLE LIVELIHOODS

5.1 Regional capacities to conduct biodiversity assessment studies & assessment of status of ecosystem health enhanced

5.2 Development & implementation of national/regional policies are based on a systematic interpretation and use of scientific data and methodologies

5.3 Enhanced capacity of policy and decision makers to utilise scientific data & information in decision making processes

5.4 Enhanced regional capacity to analyse and interpret data & information on the impacts of external factors biodiversity conservation & NRM (eg climate change, alien invasive species etc)

5.5 Management plans for critical ecosystems & habitats developed and implemented

5.6 Enhanced capacity of policy and decision makers to mainstream natural and environmental concerns in the development and implementation of macro-economic policies

5.7 Enhanced capacity for effective ecosystem management Policy, legislative and institutional constraints for addressing threats to ecosystem health identified Improved regional and national capacity to undertake economic valuation of natural resources

5.8 Enhanced awareness of Local Communities, Civil Society & Governments on the impacts of external factors on biodiversity conservation & NRM

5.9 Enhanced capacity for the use of local knowledge in natural resource management Incorporation of local knowledge in natural resource management promoted

5.10 Enhanced capacities of local communities to effectively participate in natural resource management

5.11 The development of policies and strategies addressing the rights and obligations of marginalised peoples in the use and management of natural resources facilitated

5.12 Enabling policies and legislation for access and control of local communities to natural resources facilitated

5.13 Capacity to replicate best practices in CBNRM where appropriate enhanced

5.14 Capacity of policy and decision makers to incorporate environmental considerations in planning & implementation of poverty alleviation programmes enhanced

5.15 Diversification of sustainable resource use promoted Enhanced capacity of local communities for diverse and sustainable resource use

4   Management Issues

4.1   Programme Structure and Systems

One of the major areas that the review concentrated on was the structure of the management organization. The current Senior Management team is dedicated and hard working and focused on IUCN ROSA's mission. The emphasis of the review was to assist ROSA management to find a new direction that will ensure its effectiveness and relevance in the future.

The following model was used to describe the need to base organisational structures such as committees and thematic programme groups on a sound institutional base, including a clear set in management principles, policies and guidelines. The staff worked with the review team to identify the key institutional issues and to note whether these currently existed and whether they need to be developed or refined.

The staff developed an agreed set of **management principles** to guide their organisational development over the coming years, these principles are:

o Transparency and integrity;

o Participation, accountability and responsibility based on clear delegation of authority;

o Respect diversity and each other;

o Efficient and effective management systems;

o Clear and regular internal communications between all levels;

o An equitable, rewarding, reliable, nurturing and ethical work environment

The principles provide the guiding philosophy of the organization and a way of assessing the organizational structure.

The **institutional issues** that were identified are provided in the tables below.

Issue	Exists	Responsible	Change	When
Organizational motivation				
Mission	Y	RD	No change	
Organization Principles	Y	RD	Reviewed and updated	30 Jan 04
Management Principles (include culture and equity)	Y	RD	Developed	30 Jan 04
Organizational Capacity				
Leadership (managing organization, resource development etc)		RD	Needs decision on roles of ORD, RPC, SMG etc	
Niche	Y	RD	Revised	
Strategic planning		RD del to RPC		
Situation analysis	Y	RPC	Completed	
Intersessional Programme	Y	RPC	In process	This week
Assessing programme and adapting	?	RPC		

Issue	Exists	Responsible	Change	When
Business Plan	N	RD	To be written	
Organizational plan	N	RD		
Engagement strategy (members, partners etc)	N	RD		
Communications and marketing strategy	Y	RD	Revisit	
Financial planning (including core funding, programme frameworks and cost recovery procedures)	Y	RD	Problems with financial viability of sub cost centers	
Financial accountability procedures and policies	Y	RD	Problems with reserves and liquidity	12 months
Finance risk assessment	N	RD		
Governance				
Legal status	Y	RD	Nil	
Policy system procedures	Y	RD	Communicate	
Regional Committee	Y	RD	ToR?	
National Committees	Y	CO delegated from RD		
HQ and wider Africa	Y	RD	Needs strengthening	
Operational				
Roles and responsibilities			Revise for Business Plan	
ToR for all staff	Not for all	RD	Revise after evaluations of posts (not individuals) and based on new programme (subject to contractual arrangements)	
ToR for RAC	Yes		Review	
ToR for executive committee	No		Review	
ToR for SMG	No		Review	
ToR for PCM	No			
ToR for PDC	Yes		Review	
ToR Staff committee	Yes	RD	draft	
Information management procedures	No	RD-IM	Revise	
Human Resources		RD, HR		
Human Resource planning, policy and procedures	Yes		Under development at global	
Salary and grading Policy	Yes but inadequate		Revise	Urgent
Performance and career management policy and guidelines including incentive	Inadequate		Revise	
Grievance and disciplinary procedures	Partially		Grievance and disciplinary based	

Issue	Exists	Responsible	Change	When
			on HQ	
Skill development			develop	
Delegation of authority	Y		OK	
Programme management		RD, RPC		
Planning process linked to advising adapting of the programme	Y		. Update	6-12 months
Programme coordination (vertical and horizontal communication and planning)	Yes, but		Urgent Improvement to horizontal and vertical coordination	Urgent but will take time
Mechanism for deciding which issues need integration			Revise	
Projects Development guidelines	Yes		Update for integration issue	
Quality control of projects	Yes at Global		Review for ROSA	
Programme implementation			Review	
M&E and reporting procedures	Yes		Not strong on reporting to members. OK for compliance, less for analytical	
Gender	Yes	RD		
External Linkages		RD		
Membership management and engagement strategy	Yes	RD, Member Off	Revise for Business plan	
Resources for membership services	No		Develop in fundraising and programme strategies	
Donor relations and fundraising marketing strategy	Yes	RD	Needs revision and application	
Partnerships strategy (Commissions, SADC, etc)	No	RD	Develop	
External communications strategy	Yes	RD, Comms	OK, but need to be revised based on based on HQ	
HQ relationship management	Yes	RD	Improve	
Other regions -	Yes	RD	Improve using NEPAD initially	
Infrastructure				
Facilities and their management (office space etc)				
Technology management (equipment, IT systems, software, library)				

Of these issues, it was agreed that the following needed urgent elaboration and an agreement on how to address them.

- o Leadership

- o Develop an Organizational Plan

- o Improve HR management

- o Programme management

    - o Cost recovery and cost centre system

    - o Programme coordination and organization

    - o Dealing with cross cutting issues

4.2 Leadership

The review did not have time for an extensive discussion on leadership, but there was a recognition that there was a need to clarify the role of senior managers, particularly in relation to their role in leading the organization into the future. Revised terms of reference and improved clarity between the roles of the Regional Director, Regional Programme Coordinator, Country Programme Coordinators and Regional Thematic Coordinators is essential.

The revised organigram is adequate for the short term, but will need to be revised as the new organizational model is developed and this in turn will need to reflect the niche and programme goals.

The review team concluded that ROSA should ensure that personal relationships between the staff do not affect the equilibrium of the working environment. The Regional Director will need to play an active role in building trust among staff and between the programme and the administrative, human resource and financial units. This will help to reduce frustration due to the poor communication.

4.3 Roles and Accountabilities within the ROSA Organization

For the proposed organizational model to function properly, each staff member within the organization needs to know their roles and levels of accountability. In addition, the functions and responsibilities of the various committees and teams needs to be clear, free on unnecessary overlaps.

The following suggestions are provided as a guideline that can be modified as necessary to fit the specific needs of ROSA. However, it should be noted that each post within the organization must have a clear and simple ToR that guides the work of the post and prevents overlap and confusion within the organization. This also applies to committees. In addition, there is a need for clear and simple performance indicators for each post and for each committee. The performance of each post, cost centre and committee needs to be assessed using the performance indicators and under an agreed process on a regular basis. The results of the performance should be communicated clearly with the appropriate staff and back to the committees in question

ROSA should clarify, and where necessary, define new roles and responsibilities for all units of its new Organizational Model taking into account the comments and suggestions below.

4.3.1 The Role of the Regional Director

The Regional Director leads the strategic development and effective implementation of the IUCN Programme in Southern Africa, in collaboration with the IUCN members and partners. As the official representative in the region of the Director General, the Regional Director is responsible for maintaining a high and professional corporate profile for IUCN in Southern Africa, particularly with IUCN members, partners and donors. As Head of the Regional Office, the incumbent is accountable for all financial, personnel and administrative matters and is also responsible for ensuring financial viability of the regional programme. The role of the Regional Director includes:

- o Represent IUCN in the region in a manner that promotes IUCN's mission and enhances the status of the Union among decision-making bodies, inter-governmental agencies and non-governmental organisations.
- o Oversee preparation, implementation and reporting of multi-year and annual programmes for IUCN's work and projects in the region.
- o Initiate and facilitate initiatives and dialogues on key issues of conservation policy based on IUCN's regional and global priorities.
- o Liaise with IUCN's global secretariat and commissions for the purpose of enhancing the work of IUCN in the region.
- o Develop and maintain long-term fund-raising strategies and nurture relations with the donor community in the region.
- o Assume the operational management of all IUCN activities in the region and ensure adequate maintenance of financial, human resources and other relevant policies and procedures.
- o Oversee recruitment and administration of IUCN staff in the region.
- o Maintain regular contact with governments, existing and potential IUCN members, partner organisations, Councillors, Commissions, Regional and National Committees of members.
- o Contribute to the overall management of the IUCN Secretariat.

After discussion with the staff, it was suggested that the ROSA Regional Director should also assume overall responsibility for the following:

- ➢ Organisation management – outlook, growth & development
- ➢ Strengthening and ensuring strong linkages within the organisation (including between Programme, Finance, Human Resources & Administration)
- ➢ The RAC
- ➢ Programme direction
- ➢ Regional policy coordination (including policy development, writing and/or approving of position papers and ensuring that IUCN Global Policies are implemented at the regional level)
- ➢ Fundraising for Regional Projects

4.3.2   The Role of the Regional Programme Coordinator

At the regional level, the Regional Programme Coordinator is accountable for the delivery of the regional programme. He/she reports to the Regional Director. The Regional Programme Coordinator shall:

- o Leadership, high quality management and vision for the Programme and Projects
- o Strategy and structure for Programme and Projects
- o Process and standards for Programme and Projects
- o Skills training, coaching and capacity development in planning, programming, and implementation.
- o Incentives
- o Resource mobilization
- o Co-ordination

The staff felt that the ROSA Regional Programme Coordinator should also assume overall responsibility for the following:

- ➢ Programme development, implementation, monitoring & evaluation
- ➢ Fundraising and supervision
- ➢ Preparation of Programme reports
- ➢ Collating and reviewing sectional plans and ensuring their consistency with the overall Programme Goasl & Objectives
- ➢ Coordinating the sharing of lessons across the units
- ➢ Leading innovation, and integration of the Programme
- ➢ Technical backstopping to thematic areas and country offices
- ➢ Working closely with the Finance Manager in relation to monitoring the status of programme funds
- ➢ Chairing the PDC and PCM
- ➢ Team Building

4.3.3   The Role of the Thematic Programme Coordinator

At the regional level, the Programme Coordinator is accountable for the delivery of the thematic area of the regional programme they are assigned. He/she reports to the Regional Programme Coordinator. The Programme Coordinator has the responsibility for decisions within their theme area including:

o   Leadership, high quality management and vision for the Thematic Programme and related Projects
o   Strategy and structure for the Thematic Programme and Projects
o   Process and standards for the Thematic Programme and Projects
o   Skills training, coaching and capacity development in planning, programming, and implementation.
o   Resource mobilization
o   Co-ordination

The staff felt that the Programme Coordinators should also assume responsibility for the following:

➢   Thematic Area programme Development, implementation, management and monitoring & evaluation
➢   Fundraising
➢   Ensure regionality of thematic programmes
➢   Technical backstopping to country offices & programmes
➢   Communication and marketing of the thematic programme
➢   Programme interface with Members & Commissions

4.3.4   The Role of the Country Programme Coordinator

At the country level, the Country Programme Coordinator is accountable for the delivery of the programme and reports to the Regional Director. The Country Programme Coordinator has the responsibility for decisions within country. The Country Programme Coordinator is part of a larger system that includes higher levels of accountability within IUCN. The authority of the Country Programme Coordinator is delegated from the Regional Director and ultimately from the Director General. In turn, the Country Programme Coordinator must delegate authority to appropriate management levels.

Constituency relationships are an important part of the role of the Country Programme Coordinator. One of the key functions of the position of Country Programme Coordinator is to ensure that the relations with government, members, partners and donors are good. For IUCN to be an effective membership organisation the link between the Country Programme Coordinator and the National Committee is vital.

The staff felt that the Country Programme Coordinators should also assume responsibility for the following:

➢   Membership relations
➢   The corporate strategy within the country
➢   Fundraising
➢   Coordinating input from the Regional Office
➢   Partnership agreements and the signing of contracts (to an agreed limit)
➢   Implementing the Regional Programme at the Country level, and ensuring integration with the Regional Programme
➢   Liaison with the Regional Programme Coordinator on new Programme Initiatives
➢   Assist in research and writing of proposals
➢   Developing projects responding to country needs

4.4   Internal Governance

4.4.1   The Executive Committee

The Executive Committee will comprise the Regional Director (chair), the Regional Programme Coordinator, the Head of HR, the Head of Finance, A representative Country Programme Coordinator (rotated on a quarterly basis), and a representative Regional Programme Thematic Head (rotated). The Special Adviser to the Regional Director will act as Secretary to the Committee.

The group recommended that the Executive Committee's key functions should be to advise the Regional Director on the following at a strategic level:

➢ Fundraising Strategies
➢ Human resource relations
➢ Membership issues
➢ Finances & financial decisions that impact the organisation
➢ Policy issues
➢ Organisational policy decisions
➢ Programme Implementation
➢ External relations
➢ Strategic decisions and mediation on issues of concern and conflict

It was further recommended that the Executive meets on a monthly basis and ensure regular and transparent communication between senior staff within a decentralised network. It will emphasise cost efficiency, effectiveness and integrity. The Regional Director will have the final decision, but would normally be guided by the advice of the Executive Committee.

4.4.2   Programme Committee (PC)

The current PCM has proven to be a useful organizational strategy for communicating programme issues, however, its efficacy is reduced because of its lack of clear purpose and accountability. Accordingly, a revised committee structure and function is proposed.

The committee should be downsized to comprise the Regional Programme Coordinator (Chair), Programme Coordinators, Country Programme Coordinators or a senior delegate, Head of Finance, The Regional Director shall be ex-officio members. The committee may invite project managers from major and important projects to join the committee. The Regional Programme Coordinator will have the final decision (subject to endorsement by the Regional Director and SMG as necessary) , but would normally be guided by the advice of Programme Committee.

The PC can initiate sub-committees as necessary.

It was recommended that the role of the PC should include:

o   Recommend on the content, focus, quality, relevance, reporting, effectiveness, efficiency and innovation aspects of the programme, including policy;

o   Provide strategic analysis and guidance on programme and budget;

o   Provide regular inputs on programme-related issues as necessary to the Regional Programme Coordinator, and thereby to the Regional Director and to the Director Global Programme as needed;

o   Assess programmatic performance and overall contribution to the annual results;

o   Capture and communicate lessons learned from thematic areas and countries within the region;

o   Advise the Regional Programme Coordinator on the Business Plan-related requirements to support the delivery of an effective Programme;

o   Initiate sub-committees and task teams to take action on matters within the committee's areas of responsibility;

o   Provide strategic advice on Programme issues such as coordination, integration, identifying new opportunities and fundraising

4.4.3 Project development guidelines

A review of project development is summarized in the table below:

Key Issues	Task	Responsibility
1. Project Development guidelines	Strengthen team building approaches within PDC through the exchange of experiences and tools between its members	RPC and TPC must consider integration as a result of a good collaboration between the PDC members.
	Clarify the roles and responsibility assigned to Project Officers and their Assistant	RPC and TPC should review and adjust as frequent as possible Project Officers and their Assistant ToRs.
	Promote through project Development, creative and proactive approaches for cross-cutting areas	PDC chair must consider setting up operational mechanisms on projects development and future actions after a project has come to an end.

4.5 Improving Membership focus

The review team did not have the time to thoroughly analyse member relations, but available evidence suggests that there is a need to revise the membership strategy and to better identify the value and benefits of membership and the relationship between the programme and members. This will need good communications between the members and the secretariat and also within the secretariat. A particular problem originates from the dependence of the programme, particularly country offices and thematic programmes on project funding, resulting in a lack of resources (money and staff time) to support membership functions. There needs to be some creative thinking on how to improve this. The review team does not have a simple solution, but suggests the need for ROSA to review its cost centre financial arrangements, review the availability and use of core funds and seek to develop projects that particularly add value to membership.

5 Human Resource Management Issues Emerging from the Analysis

A review of Human Resources is summarized in the table below:

Key Issues	Task	Responsibility
Human Resources		
1.Human Resource planning, policy and procedures	ROSA condition of services including the country offices have been accomplished according to the HQ format.	RD and ROSA HRM unit to follow-up the approval from HQ.
2. Performance and career management policy and guidelines including incentive	A new performance appraisal form is available. It has not yet been owned by staffs at ROSA and the performance indicators are not yet set for 2004. The issue of no-monetary reward system was brought up in the SMG in 2002. It needs to be completed.	Need of support from the RD to move this process ahead.
3. Salary and grading Policy	The current ROSA salary grading Policy was done in 1996. There is a need to update it. A consultant will be recruited to do the job evaluation, new grade and new salaries.	RD and HRM unit.
	Clarify roles and responsibilities (terms of reference) of all the staffs within the regional and country offices.	RD, RPC, SMG

6   Financial and Administration Systems

A review of financial planning is summarized in the table below:

Key Issues	Task	Responsibility
Financial planning		
1. The ABC lists and the current budget could in a short/medium run affect ROSA financial situation.	The RD and the RPC must pay special attention to the project portfolio at regional and country level.	All senior programme staff must recognize their shared responsibility for project and portfolio development.
2. Collaboration between the Finance & Administration and the Programme be should be strengthened.	The RPC, the Thematic Programme Coordinators (TPC) and the Programme assistants must work closely with the Finance department notably for the determination of projects staff time and budget scenario.	The RPC and the Finance and Admin Manager should work together for the development of the financial plan 2005-2008 in the framework of ROSA Business Plan
3. The country finance officers should timely report monthly to the Regional finance and administration Manager.	Ensure that the reports are regularly sent and feed back received.	The Country Office head should assist to speed the process.
4. As a result of the end of NETCAB project, an efficient monitoring of finance in ROSA is required to avoid deficit.	The ROSA Programme must take all necessary measures to manage any deficit internally in 2004.	The RD, the RPC, the TPC and the Country Heads should contribute in this process.

7   Conclusions and Next Steps

At the conclusion of the review, senior ROSA staff felt that the exercise had been very useful and had helped move the Regional Programme forward with regards to clearly identifying key areas that requiring strengthening, and recommendations on how to do so. The following "next steps" were agreed upon:

- Finalise the 2005-2008 Programme and resubmit the programme@iucn.org and enter into the knowledge network no later than the end of February 2004.

- Develop a business plan, using the revised niche and vision etc and particularly emphasizing the organisational model that will be put in place over the coming year. The organisational model needs to focus on delivering the programme results and be consistent with the agreed niche. It also need to enable opportunities for the improved vertical and horizontal integration within the secretariat, for integration with members and with partners. The ROSA team agreed on the general principles of the organisational model, but the exact details will need to be further refined over the next 3 months. It was agreed that ODR will take the lead in developing a proposed model, drawing in the results of the ISR and in consultation with members of the SMG. The proposal will then be discussed further and agreed upon during a Programme Retreat Group, and performance criteria established to enable ROSA to reassess the model within an agreed time period

Annexe 1 Method used to analyse Positioning of the ROSA Programme

Review the new Programme framework for its content (**what**) and also **how** it was developed (ie the consultation process) including identification of gaps and overlaps (see Alex's review notes). Consider

- o **Situation analysis** – including the ROSA situation analysis, the summary in the programme document and other relevant documents. Does the situation analyses adequately describe:
  - o The condition and trends of people and ecosystems in Southern Africa;
  - o The pressures being exerted on the environment by human activities and the underlying forces driving these pressures;
  - o An identification of the major responses to the pressures; and
  - o A stakeholder/institutional analysis for the region that identifies key partners and competitors
- o **Niche** -- The niche should identify the degree of specialisation that the programme will emphasize. It should emphasize the <u>relevance</u> and <u>significance</u> of IUCN's work. Is the niche suited to ROSA's comparative advantages.
  - o Are the comparative advantages identified, e.g.:
    - Government – nongovernmental nature
    - Commissions and networks
    - Its local to regional spread
    - Convening and facilitating ability
- o The **Programme description**
  - o Does the programme as described fit with the niche
  - o Is the programme plan clear;
  - o Do the stated results clearly reflect the change to be expected.
  - o Review thematic and geographic coverage (eg marine, land tenure, climate change, poverty)

Process – collect and review all relevant documents and discussion with programme coordinator, country directors and programme staff.

Outputs –

- o Senior programme staff have a clear idea of what a good situation analysis, niche and programme are and why these are needed.
- o Niche more clearly identified.
- o Major gaps in thematic programme areas identified
- o An agreement from ROSA that they will update their intersessional programme, by an agreed date (5th March) and under an agreed process.

Annexe 2   Method used to analyse Organisational model:

A. Management and administrative structures and processes
    a. Decision making and leadership including functioning as a team:
        i. People relationships
        ii. Process for decision making (eg individuals versus committees and the roles of various committees)
    b. Financial management
    c. Human Resources Management

B. Programme management
    a. Structure – roles and responsibilities, including coordination
    b. Dealing with new and innovative issues
    c. Horizontal and vertical linkages
    d. M&A systems (including coherence between units within the programme (eg water and ecosystems))
    e. Fundraising
    f. Strategic partnerships, including with SADC, membership, commissions, other regions and Global Programme, private sector and civil society.

Process –

- Collect and analyse TORs for key staff and committees
- Review the organizational chart
- Review documents and identify key issues for discussion
- Discuss with coordinators (What works, what doesn't work?)
- Develop scenarios and agree with staff on which is most feasible

Outputs – to be implemented in short, medium and long term, depending on issue and available resources (and progress reviewed annually):

- Improved management and administrative structures and processes
  - Clearer role and accountability of RD and ORD and Regional Programme Coordinator
- Revised programme management system
  - Clearer view on the role and accountability of the role of regional programme and country programmes
  - Clearer differentiation between line management and role of committees
  - Clearer idea on how to deal with innovation and special projects?
  - Clearer links to partners, members, other regional programmes and global programme

3. Governance
    a. Members and Partners – eg RAC, national committees, SADC
    b. Within the secretariat (ie link to HQ)

Process –

- Collect and analyse TORs for RAC and identify all National Committees, if any
- Review with RD and CP Directors the organization of RAC etc
- Review documents and identify key issues for discussion
- Develop scenarios and agree with RD on which is most feasible

Outputs –

- Senior programme staff have a clear idea on the opportunities for improving governance
- Major problems with governance areas identified
- An agreement from ROSA senior staff that they will support the RD to seek improvements in governance system.

Annex 3 Review Matrix – Key Issues & Factors considered by the ISR

Area	Issues
Positioning of the ROSA Programme	• How well is IUCN ROSA's programme based on an appropriate situational analysis? • Does the situation analysis accurately describe: • The condition and trends of people and ecosystems in Southern Africa; • The pressures being exerted on the environment by human activities and the underlying forces driving these pressures; • The major responses to the pressures; and • The stakeholders and institutions relevant to the region? • How effectively is the programme linked to IUCN core competencies? • How well has the niche for the IUCN Programme been identified? • How well aligned is the IUCN ROSA programme to the IUCN Mission? • To what extent is information and experience learned from programme implementation shared within IUCN and with other stakeholders? • What are the long term implications of the Programme pursued by IUCN ROSA? • What strategic Programme directions should IUCN ROSA be developing?
Strategic Management & Leadership	• What decision making mechanisms are currently being used and how effective are they? • Are the roles for decision making known and distributed appropriately? • What are the incentives (including perverse incentives) for strategic management and leadership?
Human Resources	• How effective are the existing human resource procedures and systems, including: • Performance appraisal systems • Training, professional development • Grading and salary schemes • Internal communications
Constituency & Governance	• How relevant is IUCN ROSA to the needs of key stakeholders: • Members • Commissions • Donors • Partners • Other IUCN regional programs • IUCN Global thematic Programmes • To what extent are members willing and able to participate in forums and bodies in both regions? • How can IUCN ROSA develop more beneficial relationships with its constituency? • To what extent can IUCN ROSA provide critical support for members' participation in the activities of two regions? • How can IUCN ROSA improve membership recruitment and retention?
Management and administrative structures and processes	• In what ways do the inter-relationships between the country offices, thematic programmes and projects enhance or impede the effective and efficient delivery of programs? How could the be improved? • How effectively do the current management systems support the effective and efficient planning, delivery and monitoring and evaluation of current programming?

Area	Issues
	• How does IUCN ROSA need to refine its management structure and systems?
	• How do staff perceive the work environment, rewards and career potential at IUCN ROSA? What are the long-term management and financial implications for IUCN ROSA under the current management structure, systems and fundraising plan?
	• To what extent is the present management structure and systems integrated with IUCN HQ systems?
	• How effective are the existing financial management control systems and procedures and to what extent are they integrated with those of the IUCN HQ?
Programme management	• How relevant are strategic partnerships, including with SADC, membership, commissions, other regions and Global Programme, private sector and civil society.
	• How efficient and effective is the current structure of programme management in ROSA– roles and responsibilities, including coordination
	• What are the advantages & disadvantages of the current model in delivering the next intersessional plan
	• How effective and efficient are ROSA's horizontal and vertical linkages
	• How effective is ROSA's M&A systems (including coherence between units within the programme (eg water and ecosystems), and ROSA's capacity to capture and internalize lessons learnt (adaptive management)
	• How effective is fundraising and how financially sustainable is the IUCN ROSA Programme?
	• In what ways can the IUCN ROSA management structure and systems be more effectively integrated with IUCN HQ systems for Programme development, coordination and monitoring and evaluation?
	• In what ways can the IUCN ROSA management systems be improved to support the effective and efficient planning, delivery and monitoring and evaluation of current programming?
	• How does ROSA deal with new and innovative issues
	•
Financial Viability & Fundraising Strategies	• How cost effective and financially viable are the current structures and models?
	• Are roles and responsibilities for fund raising clearly defined and carried out effectively?
	• What is the capacity to establish and maintain donor relations in a systematic and strategic way?

Annex 4 Documents reviewed during the ISR

1. Water Demand Management Progress Report – February 2003
2. Water Demand Management Mid-term evaluation report
3. Water Demand Management Annual Report
4. Towards Organisation Development at IUCN ROSA
5. Strategic Relationship Results & Plan
6. ROSA progress assessment report
7. ROSA short stories 2002
   a. Illustrations to complement the progress assessment report
8. ROSA short stories 2003
   a. Illustrations complimenting progress assessment report
9. Report on strategic relationship survey
10. Recommendation on Performance Management Systems for ROSA
11. Report on ROSA Internal Strategy Review – Questionnaire Analysis
12. Fundraising strategy
13. Internal Strategy Review information gathering process January 2004
14. Argil summarised presentation
15. IUCN ROSA 1st Quarterly Report 2003
16. IUCN ROSA 2nd Quarterly Report 2003
17. IUCN ROSA 3rd Quarterly Report 2003
18. Budget 2004
19. OABC List 2004
20. The 2001-2004 Abridged Quadrennial Programme Plan
21. The compendium of quadrennial results for 2001-2004
22. 2004 workplan
23. Revised Organizational chart
24. ROSA Program Coordination System
   a. with ToR for PCM.
25. SADC Rhino Technical Report – Semester 8, Work plan Semester 9
26. Sharing Water Project – Quarterly Report Oct – Dec 2003
27. SADC Wetlands Annual Report July 2002 – 2003
28. SADC Wetlands Annual Report July 2001 – 2002
29. Performance Appraisal form
30. Performance Agreement
31. Draft Pay & Job evaluation policy for IUCN ROSA
32. Biodiversity 4th quarterly report
33. ODMP quarterly report October – December 2003 (IUCN Botswana)
34. IUCN Botswana 4th Quarterly Report.
35. "Growing the business in Botswana" – IUCN Botswana Strategy paper
36. Funds for the Future – Towards the establishment of an Environmental fund in Botswana – IUCN Botswana
37. Southern Africa Biodiversity Support Programme – Mid-term Eval report April 2003

Annex 5 Agenda

Date & Time	Meeting
19 January 2004	All documents circulated to reviewers (Eben)
25 January 04	Bill and Eldad arrive in Harare
26 January 2004 (SMG Meeting)	
0900 – 1200hrs	Meeting SMG members ❑ *Overview of the ISR* ❑ *Review of objectives of ISR* ❑ *Discussion of information requirements* ❑ *Discussion of agenda for rest of ISR* ❑ *Briefing on EARO model (Eldad)* ❑ *AOB*
1300hrs – 1400hrs	Lunch Reviewers & SMG *(at the Art Café, Avondale)*
27 January 2004 (PCM)	
0900hrs – 1100hrs	Meeting with Project Managers & Program Officers
28 January 2004	Team meeting and planning
29 January 2004	Team meeting and planning
30 January 2004	Debriefing with Managers Bill Jackson, James Murombedzi & Eben Chonguica