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**SDC and IUCN**

**Joint review of the IUCN Global Biodiversity  
Programme, Phase III**

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**15 July, 2002**

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## **Acknowledgements**

First and foremost, we wish to thank Caroline Martinet for adding the demands of this review to her already overcrowded schedule. She worked hard to provide us with a wide range of reports and data, as well as ideas and experience from the history of the Global Biodiversity Programme. Her colleagues in the former Biodiversity Policy Coordination Division, and many others in the IUCN Secretariat and Commissions, were also generous with their time, information and opinions. We are especially grateful to Nancy MacPherson of the IUCN Monitoring and Evaluation Initiative for her conceptual and methodological guidance.

Many staff, members and colleagues of IUCN put up with our enquiries good-humouredly, endured the questionnaire we sent them and provided invaluable information and opinions. We thank you all, while retaining responsibility for the shortcomings of this report.

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## Abbreviations

A/BS	Access and Benefit-Sharing
AIS	Alien and invasive species
BMZ	German Federal Agency for Economic Cooperation and Development
BPCD	IUCN Biodiversity Policy Coordination Division
BPM	Biodiversity Planning Meeting
BRAO	Bureau Régional pour l’Afrique de l’Ouest
BMZ	German Federal Agency for Economic Cooperation and Development
CBD	Convention on Biological Diversity
CCD	Convention to Combat Desertification
CDM	Clean Development Mechanism
CEC	Commission on Education and Communication
CEESP	Commission on Environmental, Economic and Social Policy
CEM	Commission on Ecosystem Management
CEPA	Communications, Education, and Public Awareness
CHF	Swiss francs
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
COP	Conference of the Parties
EARO	Eastern Africa Regional Office
FCP	Forest Conservation Programme
FLR	Forest Landscape Restoration
GBF	Global Biodiversity Forum
GBP	Global Biodiversity Programme
GEF	Global Environment Facility
GISP	Global Invasive Species Programme
HQ	Headquarters
IISD	International Institute for Sustainable Development
IUCN / UICN	World Conservation Union
IWC	International Whaling Commission
KEGO	Knowledge, empowerment, governance, operations
KRA	Key result area
LULUCF	Land Use, Land Use Change and Forestry
M&E	Monitoring and evaluation
MEA	Multilateral Environmental Agreement
n	Number of cases
NBSAP	National Biodiversity Strategy Action Plan
PBIA	Policy, Biodiversity and International Agreements
RBP	IUCN Asia Regional Biodiversity Programme
RCO	Regional Conservation Office
ROSA	Regional Office for Southern Africa
SBSTTA	Subsidiary Body on Scientific, Technical and Technological Advice
SD	Standard deviation
SDC	Swiss Agency for Development and Cooperation
SSC	Species Survival Commission
SSEA	South and South East Asia
SUR	Oficina Regional para América del Sur
TOR	terms of reference
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNFF	United Nations Forest Forum
WCPA	World Commission on Protected Areas
WRI	World Resources Institute
WWF	World Wide Fund for Nature

## Summary

Phase III of IUCN's Global Biodiversity Programme has built on the important achievements of the two previous phases. Its work is judged to have been largely relevant to biodiversity concerns as IUCN and its partners perceive them. Project design and redesign, coupled with poor monitoring and reporting, have made it hard to assess performance against objectives. But we conclude that Phase III as a whole has been effective in contributing to the overall intentions of IUCN with regard to biodiversity. The policy utility of the programme's work has been high. Conceptual, methodological and capacity advances have been achieved in a range of areas, notably biodiversity assessment, the ecosystem approach, and invasive alien species.

There is a dichotomy between the appropriately programmatic policy work driven from headquarters by the former Biodiversity Policy Coordination Division, and the rather fragmented work in a wide range of fields (often with important policy dimensions) undertaken on a project basis by various programme partners through a series of budget allocations. Whereas the BPCD had a fairly good strategic vision of what it was trying to achieve at the programmatic level in its CBD and other policy work, it was often difficult to see the wood for the trees when it came to the project-based part of the effort. This part of the programme lacked focus and direction. It was laudably participatory in its planning, but its communications, monitoring and reporting were all smothered by the heavy bureaucratic burden on the BPCD.

It might be more accurate to identify three parts to this programme, not two. There was also a strategic vision of a different kind at work, led from within the BPCD by the Chief Scientist as he continued his long tradition of pioneering new issues and approaches. Important achievements continued as the BPCD worked with various partners to develop these new ideas, such as the relations between agriculture and biodiversity. Sometimes these fresh themes were explored through the Global Biodiversity Forum and introduced to the CBD. But this kind of strategic vision and leadership did not extend to managerial leadership for the GBP as a whole. Although we do not doubt that senior BPCD personnel had a clear view of the evolving issues and priorities, this did not translate into effective focus and direction for the programme.

Phase III of the GBP has made important progress in promoting partnerships between IUCN regional offices, Commissions and global programmes. There is much more potential to be unlocked by continuing to build such partnerships, although the logistics and cost of doing so can sometimes be daunting. Partnerships between RCOs are particularly valuable, as a way of countering the perceived northern bias of the IUCN Secretariat and of reinforcing IUCN's ability to act closer to some of the areas of greatest concern for biodiversity conservation and sustainable development.

The GBP has also recorded progress in promoting the vertical integration of the Union. Again, there is much more to be done, particularly in linking to work at national and local levels – exploiting, where they exist, the resources and commitment of IUCN country offices.

The experience of the GBP shows that, as a decentralised Union, IUCN should continue to seek to balance empowerment, delegation and direction. Although top-down approaches are seen to be politically incorrect, IUCN – like any decentralised organisation – needs an effective balance between the top-down and the bottom-up.

This programme has contributed to substantial improvements to the way in which IUCN makes its own policy, in biodiversity and other fields. These achievements should be continued and developed, as part of an evolving strategy for IUCN's interactions with the increasing number of multilateral environmental agreements that are pertinent to its vision.

One of the most prominent achievements of the GBP has been IUCN's role and reputation in the CBD. IUCN recognises that the framework of relevant MEAs is changing, and that work with some other agreements may be at least as productive as that with the CBD. It should continue its support for the

work of the CBD, taking care that its investment is focused and strategic. In particular, it should maintain and enhance the advocacy and advisory services that it offers to governments in this regard.

IUCN could enhance the effectiveness of its advocacy work by evolving its relationships with other lobbying organisations, such as the World Wide Fund for Nature, Greenpeace and BirdLife. However, such relationships must always allow for the particular character of IUCN's membership and constituencies, and will to some extent remain vulnerable to the changing capacities and priorities of these other organisations. Though not without risks, developing joint advocacy strategies and work plans with a range of such organisations could provide benefits to all involved, and help achieve IUCN's advocacy objectives.

The GBF has been widely praised. Although GBP funding for IUCN secretariat services to the GBF will now come to an end, IUCN should maintain and develop its support for this important consultative mechanism. But it should not allow the GBF to become stale, or its administrative burden to become overwhelming, by attempting to support more than three GBFs each year.

Our respondents answered with caution when we asked how much of a management model the GBF was for the rest of IUCN to follow. Most have been inspired by the participatory partnership principles of its approach, and would agree that these deserve to be followed more broadly in the Union. They have been warned by some of the practicalities of the approach, and will doubtless be trying to learn from these in their own programming. Despite the value of the partnerships and integration that Phase III of the GBP promoted, it is clear that the GBP's approach to the management of multiple comparatively small projects should not be replicated.

If new circumstances arise in which programme funding is available for distribution to multiple component activities and partners, a more strategic and programmatic approach should be adopted that acknowledges the process nature of the work IUCN does. Ways must be found to fund process rather than narrowly defined activities, and to reconcile the imperatives of clear planning, monitoring and accounting with those of programmatic uncertainty and flexibility. The key to this is to identify a smaller set of priorities, and to focus on them consistently.

Whatever the specific field of endeavour, IUCN likes to see itself as a learning organisation, with a particular emphasis on knowledge management. This implies that it should apply a learning approach to major, innovative programmes like the GBF that are trying to explore new paradigms and develop new skills and insights for the organisation and its partners. This requires the kind of managerial leadership, programme design, monitoring awareness and programmatic direction that were lacking in Phase III of the GBP. Ongoing analysis and communication of programme experience is vital in such a learning approach.

If anything, the last area of emphasis that we have identified is harder still to achieve. It concerns the practice part of the policy-science-practice linkage that IUCN tries to achieve and that the GBF, with some success, aimed to promote. Despite the importance of the CBD and the undoubted achievements of the GBF in that arena, we sensed an increasing concern, among our survey respondents and beyond, that implementation now needs more emphasis than formulation. This can never be easy for IUCN, which by its nature as an organisation is more of a facilitator and an advocate than a practical actor. One of the constant general challenges for the Union, of course, is for the Secretariat and the Commissions to interface more effectively with its members in this regard. We can only predict that it will be increasingly important during this decade for IUCN to develop and emphasise the ways in which its scientific and policy work lead to practical action to conserve biodiversity and achieve sustainable development.

However mainstreamed the concept may now be in IUCN, the GBF has not been the end of the story of the Union's action with regard to biodiversity. A new framework or structure may be needed to carry the work forward. We assume that this issue will be addressed in ongoing strategic review and structural innovation that build on the approaches, lessons and achievements of the GBF.



## **1. Introduction**

### **1.1. The Global Biodiversity Programme and SDC support to it**

IUCN began focused work on biodiversity in 1989, when it established a unit for this purpose at the headquarters of the Secretariat in Gland. Early achievements included IUCN's contributions to the Global Biodiversity Strategy of 1992, and the Union's inputs to the Convention on Biological Diversity (CBD), which came into force in 1993. Through the work of this unit and the IUCN Chief Scientist who headed it, the Union has been involved in the CBD since the idea of the Convention was first formulated.

SDC has been supporting IUCN's biodiversity work since 1993, when the two organisations launched a three year programme of Swiss funding for the emerging IUCN biodiversity programme. With the CBD recently launched, the work during those three years focused on global biodiversity issues, and helped IUCN promote global awareness of the concept of biodiversity. During this first phase, IUCN was active in the CBD, and began to develop a profile as a global resource and facilitator in support of policy and action to conserve biodiversity. The Secretariat of the CBD still speaks warmly of the guidance and support that it received from IUCN during those formative years. The first phase also saw the expansion of IUCN's work on the economics of biodiversity, and the launch of the Global Biodiversity Forum (GBF) – an informal gathering for international dialogue between all types of stakeholder in the CBD. The 16<sup>th</sup> GBF took place in The Hague during the current review.

SDC continued its support during Phase II of the programme (1996-1999), which focused on building the capacity of IUCN's regional offices (RCOs) as global, national and local actors in biodiversity conservation. During this phase, a significant part of the SDC funding was delegated to five of the Union's Regional Offices (RCOs): South America (SUR), West Africa (BRAO), Southern Africa (ROSA), East Africa (EARO), and South and South East Asia (SSEA). This transfer to action at regional level was in reaction to a 1996 external review of the programme which urged IUCN to focus more on conservation action in the field; to promote practical demonstration of the real benefits of biodiversity; and to build vertical linkages between the local, regional and global levels. Phase II also developed IUCN's work on the economics of biodiversity. Ultimately an Economic Services Unit, with a programme separately funded by SDC, was spun off from the Biodiversity Policy Coordination Division (BPCD). Meanwhile, the programme further developed IUCN's support to the CBD, and supported an additional ten sessions of the GBF.

The 1999 External Review of IUCN endorsed the approach and performance of Phase II of the Biodiversity Policy Programme, as it was then known. The BPCD also carried out an internal review of Phase II in that year, in consultation with project partners and SDC. The internal review recommended that this kind of work be continued, but with a strengthened emphasis on vertical and horizontal partnerships within IUCN. The promotion of collaboration between RCOs was particularly recommended, but the review also noted the value of building biodiversity efforts through collaboration with and between IUCN's other global programmes, the Commissions, and the Union's members.

The internal review of Phase II thus laid the foundations for the design of Phase III of SDC support to IUCN's Global Biodiversity Programme (GBP), officially titled Supporting Global Action to Conserve Biodiversity and Sustainably Use Biological Resources. Phase III, which runs from January 2000 to December 2002, has emphasised these vertical and horizontal partnerships. At the same time, it has supported the continuing high profile of IUCN at the global biodiversity policy level – in particular the GBP's inputs to CBD processes and its secretariat services to the GBF. Phase III also saw the transfer of IUCN's work on climate change to the GBP in 2001, with some SDC funding used for activities in this field.

Phase III has thus undertaken two, overlapping, types of work. At the global level, and working primarily from the BPCD at headquarters, the programme has maintained and developed IUCN's

policy work on biodiversity and climate change, with particular attention to the CBD and the GBF. Much of this work has been programmatic in nature, and is funded from that portion of the SDC budget that is dedicated to BPCD staff time. At the national and sometimes the regional levels, the programme has supported a wider range of activities, each formulated as a separate project. Some of these projects deal with policy issues – including one that funded a variety of regional and national preparations for CBD meetings. Others focus on related concerns such as biodiversity assessment and the development of incentive measures for biodiversity conservation. We give more detail on the complex structure and composition of the Phase III programme in section 2.2 below. The primary distinction to be noted from the outset is between the programmatic, largely policy-oriented work that has been funded by block allocations for headquarters staff time, and the more fragmented, project-bound activities (some also policy-oriented) for which a series of discrete, comparatively small funding allocations have been made.

**The original objectives of Phase III of the programme**

*A strong international biodiversity agenda with political and financial support is agreed and implemented.*

*Impacts on biodiversity, especially from sectoral activities, climate change, biotechnology and trade are identified and responsive measures developed and applied at national, regional and global levels.*

As we explain further in section 2.1, Phase III of this programme has evolved through a number of broader programmatic and institutional developments in IUCN. It was drafted before the Union's current Intersessional Programme had been completed, and was subsequently restructured in order to reflect the key result areas (KRAs) set out in that programme. In the process, its original two objectives (see box) were elaborated into ten objectives, distributed across all seven of the KRAs. Meanwhile, institutional changes at headquarters led to the closure of the BPCD at the end of 2001. The mandate of the Chief Scientist, who headed the BPCD, has been revised. Two BPCD staff have been moved to a new Policy, Biodiversity and International Agreements (PBIA) Unit, where they are expected to work on other cross-sectoral international agreements in addition to the CBD (notably the UNFCCC and the World Trade Organisation). One former BPCD staff member continues to coordinate Phase III project activities and has other programme management duties such as coordination of the Innovation Fund that was separately funded by SDC. Although the BPCD has officially been disbanded, there are understandably still close working links between its former members, and we continue to use 'BPCD' as a group name for them.

Although Phase III of the programme still has six months to run, much has already changed in the way IUCN works on biodiversity and related issues. In some senses, 2002 is a year of close out, transition and new starts. No new project activities are being funded in year 3 of the programme. Nor is there any prospect of a Phase IV of this programme. Concepts and approaches in donor funding for the overall IUCN programme have evolved significantly in the last two years, and any future SDC support is likely to take a different shape.

The fact that Phase III of the GBP is closing out (and being evaluated) before it ends, and that there clearly will be no Phase IV, should not be taken to mean that the GBP and its methods have already been rejected as ineffective or inappropriate. This review assesses the performance and approach of the programme, and finds praise in many quarters for much of what it has done. The chronology just outlined should instead be seen as showing a more efficient approach to structural and institutional change, and to the evaluation of performance in IUCN. It also indicates flexibility on the side of SDC in its ongoing discussions with IUCN about how best to support the Union's evolving commitment to biodiversity and related concerns.

## 1.2. Terms of reference

The terms of reference (TOR) for this review are shown at Annex 1. The overall purpose of the review is to assess the relevance and effectiveness of the results of Phase III of the programme, with a

particular focus on the approach taken to achieve the results (technical leadership, partnerships, cross-regional links, policy-science-practice links). The terms of reference comprise four key tasks:

- Assess the extent to which the expected results of Phase III were achieved.
- Describe and assess the relevance, and effectiveness of the partnerships created among Global Thematic Programmes of IUCN, with Commissions and with Regional Programmes in achieving these results in Phase III.
- Describe the institutional influences and effects that have occurred in the IUCN Programme that can reasonably be associated with the Phase III work of the Global Biodiversity Programme.
- Highlight programmatic and organisational lessons learned with regard to the approach that should be taken into consideration by SDC and IUCN.

In our early discussions of the TOR with SDC and IUCN, three key features of the task became clearer:

- It has been commissioned jointly by the funding and executing agencies of the programme, and must therefore respond to the concerns of both parties.
- It is not a totally external evaluation by outsiders who maintain an absolute distance from the programme. As reviewers, we were instead expected to maintain the ‘right’ distance, working closely with the IUCN Secretariat. In the Secretariat, our primary liaison was with the Monitoring and Evaluation Initiative, not with the staff directly responsible for the programme.
- The review is thus intended to be a participatory learning exercise for IUCN and SDC, developed through an iterative process of interaction between them and the reviewers.

### **1.3. Factors affecting the review**

As we have indicated, this review was commissioned by both SDC and IUCN, who jointly drew up the TOR. We have therefore had to respond to both agencies’ concerns and priorities. Although there are certainly differences between them, it has proved to be quite feasible to report to the two clients in this way.

It might seem strange to be reviewing a programme that has not yet ended. In practice, however, as the programme’s activities are wound down during this final year, it has not been too difficult to find well-formed opinions about the strengths and weaknesses of its approach and performance.

However, a limited amount of time and money were available for the review of what turns out to be a complex programme (section 2.2). Especially since the programme’s activities have been spread all over the world, it has been difficult to gather detail about them all, or to make contact with all the key people within and beyond IUCN who have been involved. It has therefore not been possible to undertake a performance audit of the many component projects of the programme. Nor has it been feasible to investigate the impact of the range of policy formulation work that the programme has supported.

A related problem for this review has been the nature of programme reporting (section 3.2.5). When this programme was redesigned to reflect the KRAs of IUCN’s overall Intersessional programme, it was set out in a way that would have facilitated systematic reporting by objective, and summary, analytical reporting by KRA. In fact, reporting on the many component projects and activities has been incomplete, and the programme’s annual reports do not offer any overview of progress made or

problems encountered in reaching its objectives. To develop this review, we have therefore had to rely mainly on information and opinions provided by a range of key informants.

Finally, because this programme is so wide ranging and has been running through three phases, it has not always been easy for these key informants to comment on the GBP specifically. Depending on who they are and what their role has been, some have provided commentary that seems to refer to the GBP overall rather than to Phase III in particular. Furthermore, some outsiders do not easily distinguish the GBP from IUCN as a whole. Others appear to confuse the GBP with the Innovation Fund that SDC also supported.

#### 1.4. Our approach and methodology

We have tried to take the above factors into account in our approach to this review. Our work began with a series of introductory discussions at IUCN headquarters and with SDC. These helped to amplify the TOR, and led us to develop an evaluation matrix (Annex 2). We used this matrix to structure our approach to the TOR, and to help us identify what questions we would need to ask of whom. The matrix reflected two broad perspectives on this review, and two corresponding concerns that it was expected to address:

- The first perspective comes from IUCN's evolving efforts to plan, monitor and evaluate its activities more rigorously. It gives rise to a concern with the **performance** of this programme. What tangible or measurable outputs did it intend to deliver, and has it delivered them? To answer this question, we reviewed the details of the programme's plans and searched for the indicators of performance that those plans should have specified. In the worlds of policy, capacity and commitment in which IUCN operates, it has often been criticised for being too vague about what it was doing, why, and what it was achieving. The planning and now the review of this programme are part of the organisation's efforts to address those criticisms.
- The second perspective is broader. It looks for the lessons learned from the experience so far of Phase III of the programme. These lessons are likely to be interesting for many other parts of the Union, and especially for other programmes and parts of the Secretariat. In particular, this perspective on the review seeks to learn about the **approach** that Phase III took as it planned and managed its many activities with its multiple partners. As we have noted, this phase coincided with, and participated in, the pioneering of new planning and management approaches throughout the Secretariat. Reviewing this programme's experience with these approaches therefore has broader significance.

We decided that it would be most productive to keep these two concerns distinct in our minds and in our enquiries as we carried out the review. The distinction is reflected in the structure of this report (sections 3 and 4 respectively).

In consultation with SDC and IUCN, we developed a questionnaire as the central tool for the review. Doing this gave some empirical rigour to the investigation. But, as we developed a list of people whom we would ask to respond to the questionnaire, it also gave us the opportunity to gather a wide range of subjective opinions, anecdotes and supplementary information about the programme. There was some discussion about what sort of questionnaire to use. The simplest approach would have been a straightforward set of statements about the programme's performance with a standardised set of responses to each (ranging from 'strongly disagree' to 'strongly agree'). We might have hoped that many people would quickly respond to a simple questionnaire like this, and that we could then follow up with face to face or telephone interviews to obtain the background to their responses. Instead, sceptical about the response rate and overall value of such simplified enquiries, we decided to send out a more complex questionnaire that left space for people to fill in more of their views and explanations, and that did not offer standardised responses to all questions. We then planned to follow up with respondents in direct or telephone interviews, either to ask for amplification on the questionnaires they had sent back or, if necessary, to talk them through the whole questionnaire.

Three versions of the questionnaire at Annex 3 were used. IUCN Secretariat staff (at headquarters and elsewhere) were assumed to know most about the GBP and were asked to complete the whole questionnaire, as shown in the Annex. Members of IUCN Commissions were sent a shorter version, containing questions 1-12. Other respondents, such as representatives of donor agencies and NGOs, were only given questions 1-11. We developed the list of respondents in consultation with IUCN, and added a few names from our own networks. The key informants interviewed for this review are listed in Annex 4.

Unsurprisingly, the questionnaire was not enormously popular with many of our respondents. Few filled it in and returned it without prompting. We had to contact many people directly, and fill in the questionnaire with them as we discussed it. The GBF and the CBD Convention of the Parties (COP) that were held in The Hague in April 2002 were valuable opportunities for us to do this. With those respondents we could not meet in person, we carried out telephone interviews.

Table 1 shows the number of responses finally obtained from the range of stakeholders who received the questionnaire. After seven of the initial 68 had been left out because they said they knew nothing about the programme, or delegated the response to someone else, we were left with a survey population of 61. Of these, two thirds ultimately filled in the boxes on the questionnaire and gave us additional explanations and information. We consider this a satisfactory response rate. We could have made it higher. Some people responded to acknowledge receipt of the questionnaire, but did not fill it in or contact us again. Because of a shortage of time, we had to prioritise and did not pursue all the potential respondents with equal vigour. The number of responses and the number interviewed therefore differ. For processing purposes, we consolidated the seven stakeholder groups into five, and later to the three (Secretariat, Commissions and others) that appear in many of the tabulations in this report.

**Table 1. Response to questionnaire**

<b>Category</b>	<b>No. sent</b>	<b>No. of responses</b>	<b>No. interviewed</b>
BPCD staff	4	4	4
Commission leaders, members	9	8	5
Donor and development agencies	12	10	5
Global programmes/thematic leaders	12	12	11
Conservation NGOs	7	5	4
RCOs	15	11	10
Convention secretariats	9	8	2
<b>Removed</b> [had no knowledge of GBP, or delegated response to someone else]	7		
<b>Effective total</b>	61	58	41
<b>Effective response rate</b>			<b>67%</b>

Overall, we believe that the questionnaire and the additional material that we recorded while discussing it with respondents provide an accurate and insightful assessment of the programme's approach and performance. We did note that respondents' quantitative scores across the five rating boxes that were provided for most questions tended to be kinder than some of their comments in the explanatory discussions that followed.

To facilitate analysis, we have presented all of the quantitative data in a series of bar charts (Figure 4 - Figure 25) showing the mean response for each stakeholder group on a scale from 1 to 5. To interpret these means, however, it is important to keep in mind the "spread" or variability of the responses within each stakeholder group. This is indicated in the table accompanying each chart by the standard deviation (SD). For example, the SDs among the responses range from 0 (total agreement) with respect to the relevance of the programme to biodiversity concerns according to the stakeholders from

the Commissions in Figure 4, to  $SD = 1.6$  (a wide range of positive and negative responses) regarding the programme effectiveness as perceived by respondents outside IUCN (Figure 8). Also given in the data accompanying the charts is the number (n) of actual responses to each question, which varied according to the number of “don’t know” answers received for that question in each respondent group.

It is also worth keeping in mind that half of the questionnaires were filled in at either the GBF or the CBD COP. These aspects of the programme’s work are therefore likely to loom somewhat larger in the responses than would have been the case if all the questionnaires had been filled in in the interviewees’ home offices.

In addition to the main task of questionnaires and interviews, we reviewed as much of the programme literature as we could (see the annotated list at Annex 7) and carried out further detailed discussions with a number of key informants. We then presented an outline of our findings at a meeting with SDC and IUCN on 4 June, 2002. This report largely follows that outline.

## **2. Programme structure**

### **2.1. Evolution of the programme**

Having learned from its experience in Phase II, in which the portfolio of projects was very intensively managed, IUCN decided for Phase III to delegate the management responsibility of the programme as much as possible to participating regional offices. As Phase III of the Global Biodiversity Programme was being designed, IUCN was in the midst of a vast and ambitious process to develop a global programme for the next intersessional period and beyond. This world wide programme was drafted in early 2000 and then adopted at the Amman World Conservation Congress in October that year (IUCN 2001a).

In order to harmonise Phase III of the Global Biodiversity Programme with IUCN’s new intersessional programme, the programme framework that had originally been submitted to SDC was “retrofitted” to the new Key Result Areas of the intersessional programme. This exercise (Martinet 2000) produced the programme framework – including objectives, results, projects and indicative budgets – that became the reference point for the programme and for this review. In the process, the original two objectives of the programme (section 1.1), although still considered valid, lost their prominence. They were replaced in the revised planning by the two ‘conservation goals’ of IUCN, but no further reference seems to have been made to these goals in the programme’s annual plans or reports.

### **2.2. Mapping the programme**

This is a complex programme, comprising many activities, and allocations of funds to a range of working partners around the world.

When the programme framework was revised to match the programme’s intended results and activities to IUCN’s KRAs, ten specific objectives were articulated, and within these, 45 different results intended to be achieved by the end of 2002 (GBP Phase III Workplan and Indicative Budget). Attached to these results are 37 individual projects. Some projects contribute to more than one result. However, some projects that were not linked to specific programme results were also funded.

In addition, two of the ten objectives and 25 of the 45 results do not have any budgets attached in the programme framework. Many of these are intended to be paid for out of the overall budget for BPCD staff costs. One of the challenges in understanding the structure of this programme is that the BPCD staff costs are not broken down by project, nor by result or objective. These staff costs are a substantial part of the programme, and account for 39% of programme expenditures to date.

A second source of information has been the budget and expenditure spreadsheet for the programme (SDC Phase III Project Budget and Expenditure Overview 2000-2002). This does not completely match the Workplan in its specification of activities. As we have noted, some of the activities for which there are budgets do not link specifically to any strategic result.

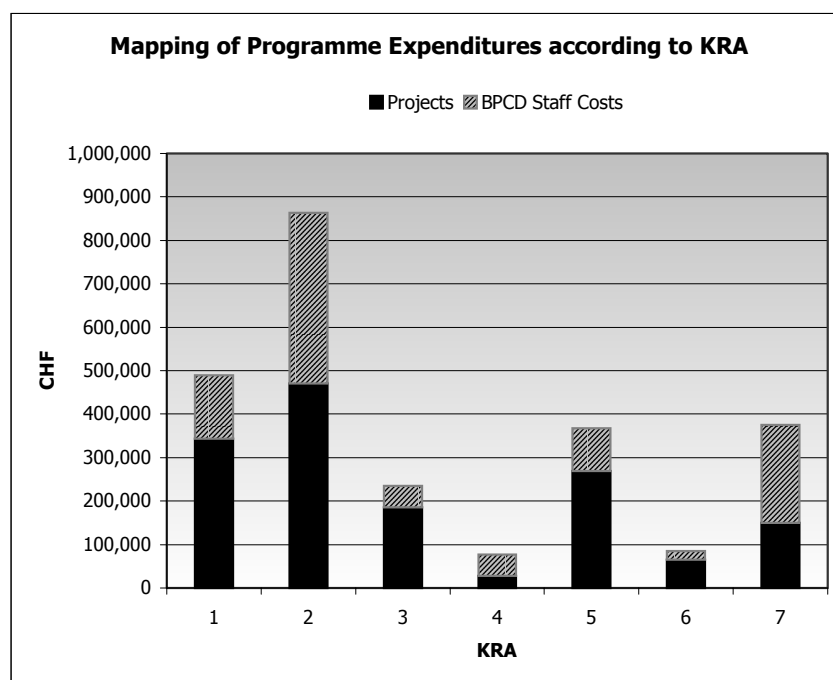
The various elements of the GBP are presented in Table 2 on page 1. This is largely based on the programme's strategic Workplan, with supplementary information from the budget and expenditure tables. All the project descriptions, budget information and other data in the table have been transferred directly from the spreadsheets kindly provided to us by the BPCD. The full text of the programme's objectives and results is given in Annex 5.

In addition to the table showing the individual elements of the GBP, we have analysed the programme expenditures according to their contribution to IUCN's KRAs and to its four broad strategies to address global conservation issues: knowledge, empowerment, governance and operations (KEGO). The results are presented in Figures 1 and 2. These bar charts are composed of project expenditures to date (lower portions), and the estimated allocation of BPCD staff costs (upper portions).

Not surprisingly, the programme's major effort has been allocated to KRA 2 (agreements, processes and policies). Next in importance has been KRA 1 (management and restoration of ecosystems), KRA 7 (management and leadership), and KRA 5 (assessment systems). Incentives for conservation (KRA 3) comprise a third tier, whereas relatively little investment has been made in KRAs 6 (communications) and 4 (equitable sharing). However, this kind of categorisation conceals the fact that some of the activities contribute to more than one KRA. Communications elements, in particular, appear in many of the activities funded by the GBP, although few projects focused directly on KRA 6.

In terms of strategies, the greatest effort has been concentrated on governance, followed by operations, knowledge, and finally empowerment.

**Figure 1. Mapping the programme by KRA**



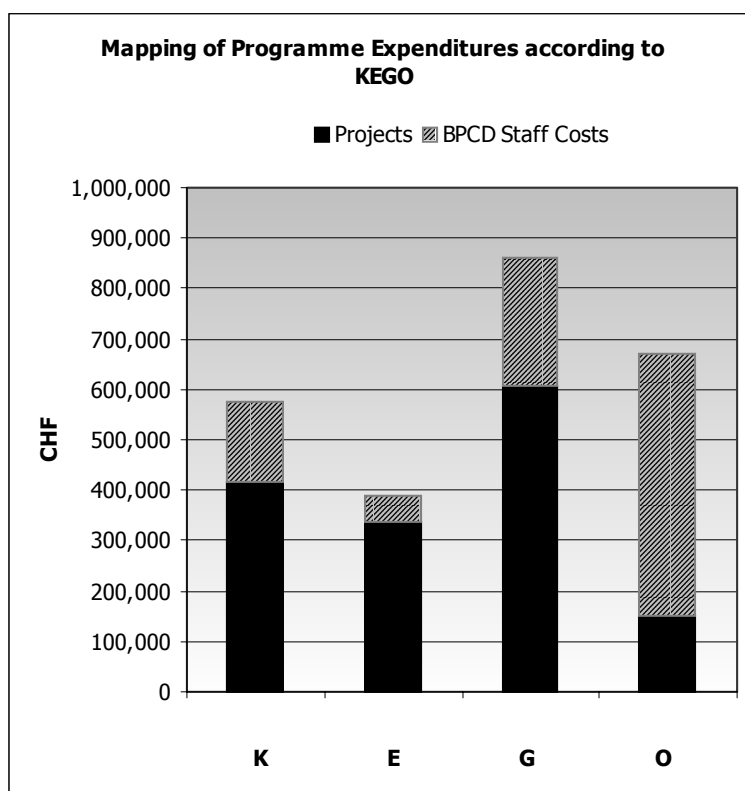
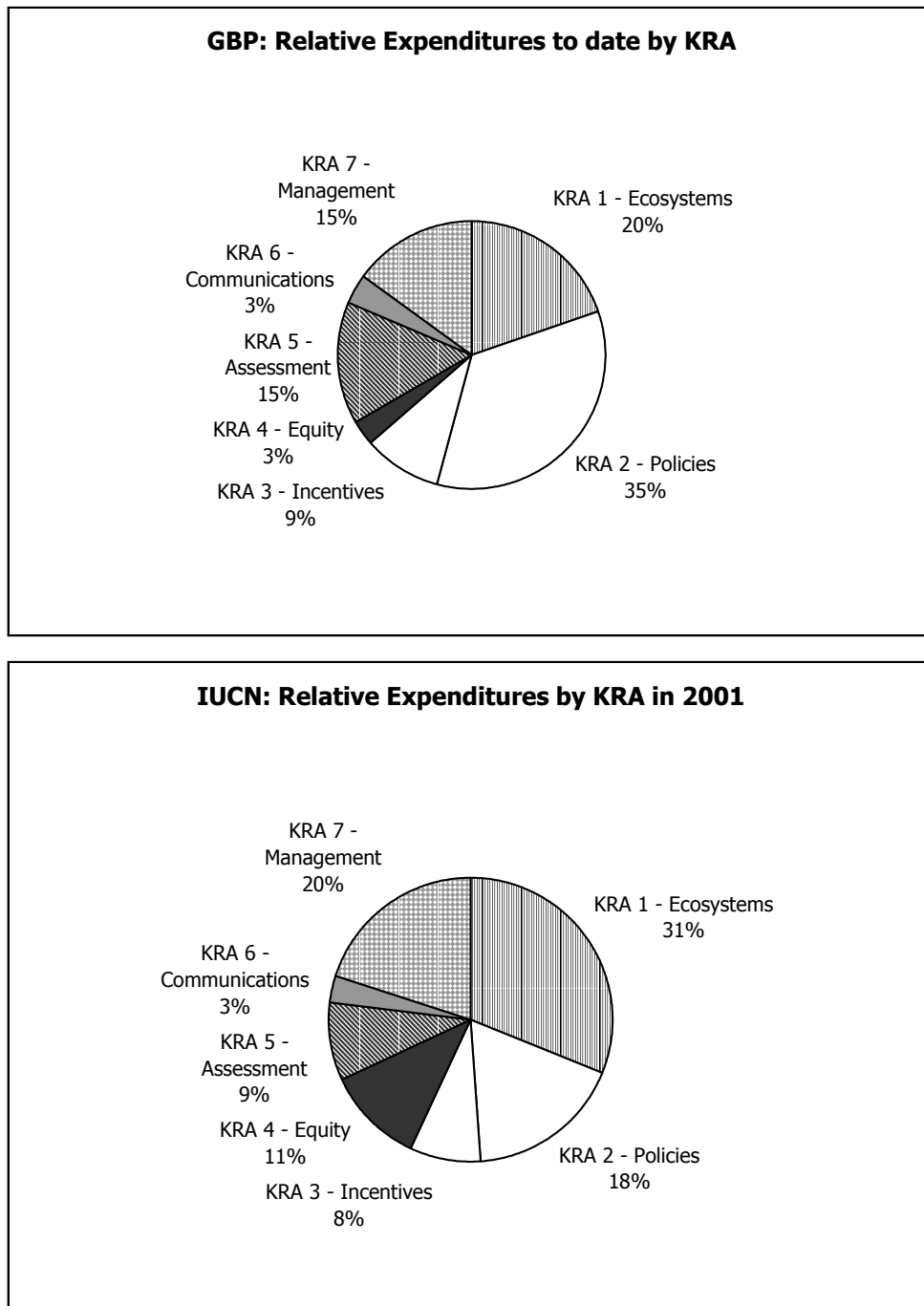
**Figure 2. Mapping the programme by KEGO**

Figure 3 shows the relative allocation of effort among the KRAs of the Global Biodiversity Programme as compared to IUCN as a whole. It is noteworthy that although the GBP is a complex programme, expenditures on management and leadership projects (KRA 7) are lower than in IUCN overall. Otherwise, the GBP has invested relatively more in policy work, and quite a bit less in ecosystem management and restoration and in equitable sharing of costs and benefits than has the organisation as a whole.

Another way of mapping the programme is by project expenditure. Annex 6 ranks all the projects in the GBP portfolio according to expenditure to date, from the highest to the lowest. Aside from the BPCD staff costs at close to a million Swiss francs (CHF), project expenditures range from CHF 300,000 for the CBD policy work, to under CHF 2,000, for example, for projects in Asia on biosafety and on alien invasive species. Of course, one reason for low expenditure may be a recent start. Annex 6 also shows the actual budgets for each project, which (excluding staff costs) range from CHF 300,000 to CHF 2,500. The median project budget is CHF 40,000.



**Figure 3. Comparison of expenditures by the GBP with those of IUCN as a whole**



**Table 2. Elements of the GBP according to its strategic framework of objectives and results***for key, see page 1*

<b>KRA</b>	<b>KEGO</b>	<b>GBP Objective(s)</b>	<b>Expected Result(s)</b>	<b>Project</b>	<b>Orig. Budget</b>	<b>Actual Budget</b>	<b>Expenditure</b>	<b>Programme</b>
7*	O*	Various	Various	BPCD staff costs	775,000	775,000	980,000	BPCD
2.5	E			CBD Prep meeting for WESCANA	25,000	11,000	11,000	WESCAN A
6	K?			Publication of Biolog	7,500	5,200	5,154	Asia
7	O			Biodiversity Planning Meetings	110,000	72,000	73,923	BPCD
7	O			RBP staff time + op costs	-	-	25,224	Asia RBP
7	O			BPCD consultants, interns	-	-	22,467	BPCD
7	O			Finalisation of the RBP's strategic framework	23,800	17,200	17,143	Asia RBP
7	O			Monitoring and evaluation	9,000	85,000	11,165	BPCD
1.1	K	1. Decisions and policies influenced	1.1 Analytical documents and technical evaluations prepared and advocated for key agreements	Scoping biodiversity and agriculture: strategic development of IUCN's current and future work programme	45,000	-	0	Europe
2	E	1. Decisions and policies influenced	1.2 IUCN Policy papers on priority issues prepared and advocated for key CBD events	Development of a policy network in Asia	20,000	15,000	14,715	Asia

KRA	KEGO	GBP Objective(s)	Expected Result(s)	Project	Orig. Budget	Actual Budget	Expenditure	Programme
2.6	G	1. Decisions and policies influenced	1.2 IUCN Policy papers on priority issues prepared and advocated for key CBD events 1.5 Support provided to enhance national level capacities to implement the different provisions of the CBD	Regional policy guidance on Sustainable Use of Biodiversity in Africa, Latin America, and Asia	40,000	40,000	40,000	SUI
2.6	G	1. Decisions and policies influenced	1.2 IUCN Policy papers on priority issues prepared and advocated for key CBD events 1.3 Regional and national preparatory meetings facilitated to prepare Parties and NGOs for CBD meetings	IUCN policy work for CBD meetings	450,000	300,000	205,018	BPCD
2	O ?	1. Decisions and policies influenced	<i>1.4 Advice and policy support provided to biodiversity-relevant inter-governmental processes</i>	<i>In 2002, Chief Scientist appointed to lead technical input to intergovernmental processes</i>	-	-	-	BPCD
7	O	1. Decisions and policies influenced	<i>1.4 Advice and policy support provided to biodiversity-relevant inter-governmental processes</i>	<i>In 2002, Biodiv. Policy &amp; Int'l Agreements Unit established</i>	-	-	-	BPCD
1.2	K	1. Decisions and policies influenced	1.5 Support provided to enhance national level capacities to implement the different provisions of the CBD	International Support for an African Protected Areas Initiative	67,500	55,000	52,762	EARO

KRA	KEGO	GBP Objective(s)	Expected Result(s)	Project	Orig. Budget	Actual Budget	Expenditure	Programme
1.3	E?	1. Decisions and policies influenced 4. Integrated and effective biodiversity planning processes implemented	1.5 Support provided to enhance national level capacities to implement the different provisions of the CBD 4.1 Experience shared and capacity built in the development and implementation of NBSAPs	An Ecosystem Approach under the CBD, from concept to action: 3 regional pathfinder workshops	30,000	20,204	20,204	CEM
1.5	E	1. Decisions and policies influenced	1.5 Support provided to enhance national level capacities to implement the different provisions of the CBD	Regional training workshop on Protected Area systems planning	60,000	51,000	50,588	Asia
5.4	K	1. Decisions and policies influenced	1.5 Support provided to enhance national level capacities to implement the different provisions of the CBD	Assessment methodology on national compliance	60,000	60,000	60,000	ORMA
1.5	G	1. Decisions and policies influenced	1.6 Emerging issues that affect biodiversity identified and their relevance to the IUCN programme reviewed.	Bushmeat Initiative	40,000	40,000	40,000	SUI + Species
2	O ?	1. Decisions and policies influenced	1.6 Emerging issues that affect biodiversity identified and their relevance to the IUCN programme reviewed.	<i>In 2001, Chief Scientist member of the energy and biodiversity initiative</i>	-	-	-	BPCD
2.5	E	1. Decisions and policies influenced	1.6 Emerging issues that affect biodiversity identified and their relevance to the IUCN programme reviewed.	Building capacity to address Biosafety Issues and to Implement the Biosafety Protocol	59,000	2,500	2,387	Asia

KRA	KEGO	GBP Objective(s)	Expected Result(s)	Project	Orig. Budget	Actual Budget	Expenditure	Programme
2	E	1. Decisions and policies influenced	<i>1.7 The capacity of IUCN Regional and Global programmes enhanced to enable them to contribute effectively to KRA2</i>	<i>Technical support provided</i>	-	-	-	BPCD
2	E	<i>2. Governments, the scientific community and civil society have greater commitment to the conservation, sustainable use and management of biodiversity</i>	<i>2.1 Sessions of the Global Biodiversity Forum organized to enhance stakeholder participation and improve linkages between science and policy at regional and global levels.</i>	<i>GBF Secretariat provided</i>	-	-	-	BPCD
2	G	3. Biodiversity-related agreements implemented in a synergistic manner	<i>3.1 Policy briefs prepared and advocated for meetings of key agreements, including CBD, CEC, CITES, WHC, Ramsar, CCD, FCCC, IWC, UNCLOS, WTO and CMS</i>		-	-	-	BPCD
2		3. Biodiversity-related agreements implemented in a synergistic manner	<i>3.2 Policy research on synergies between environmental agreements supported</i>	<i>Technical advice provided</i>	-	-	-	BPCD
2		3. Biodiversity-related agreements implemented in a synergistic manner	<i>3.3 Support provided for the implementation of synergistic approaches between agreements</i>		-	-	-	RCOs §§
1.4	E	3. Biodiversity-related agreements implemented in a synergistic manner	3.4 Possible global mechanisms explored to strengthen the implementation of environmental instruments on invasive species	Alien invasive species in Meso-America	46,000	40,000	30,488	ORMA

KRA	KEGO	GBP Objective(s)	Expected Result(s)	Project	Orig. Budget	Actual Budget	Expenditure	Programme
1.4	E	3. Biodiversity-related agreements implemented in a synergistic manner	3.4 Possible global mechanisms explored to strengthen the implementation of environmental instruments on invasive species	Building capacity to address alien invasive species in Asia	45,000	2,500	1,870	Asia
1.1	K	3. Biodiversity-related agreements implemented in a synergistic manner 9. The options to strengthen capacity and management effectiveness regarding climate change identified	3.5 Support provided for the development of tools and policies on the linkages between biodiversity, climate change and restoration 9.1 Analysis of the ecosystem approach as an response to climate change	Biodiversity, Climate Change, and Restoration of Ecosystems / Ecosystem Management	30,000	15,000	3,750	BPCD
1.1	K	3. Biodiversity-related agreements implemented in a synergistic manner	3.6 Support provided to the regions to address the linkages between biodiversity, climate change and restoration	Forest rehabilitation and restoration in South Asia	70,000	65,000	63,376	Asia
1.3	E	3. Biodiversity-related agreements implemented in a synergistic manner	3.6 Support provided to the regions to address the linkages between biodiversity, climate change and restoration	Management and restoration of forest ecosystems in Central America	80,000	80,000	80,000	ORMA
2	K	3. Biodiversity-related agreements implemented in a synergistic manner	<i>3.7 Technical inputs for the IPCC and legal analysis for the UNFCCC on climate change and biodiversity developed</i>		-	-	-	BPCD §§

KRA	KEGO	GBP Objective(s)	Expected Result(s)	Project	Orig. Budget	Actual Budget	Expenditure	Programme
2	G?	3. Biodiversity-related agreements implemented in a synergistic manner	<i>3.8 Enhanced regional and national legal and institutional capabilities for implementation of UNFCCC in relation to biodiversity conservation</i>		-	-	-	BPCD §§
2.2	K	4. Biodiversity planning processes implemented  5. Incentive measures developed and implemented	4.1 Experience shared and capacity built in the development and implementation of NBSAPs 4.3 Guidelines and tools prepared on the integration biodiversity concerns into sectoral planning 5.1 Support provided for funding mechanisms for CBD implementation and biodiversity conservation at national and regional levels 5.3 Support provided for incentives for CBD implementation and biodiversity conservation at national and regional levels	Mainstreaming biodiversity into the economic policies, programmes and plans of the forest sector in East Africa, Asia and South America	158,000	97,000	96,290	EARO
2.5	E	4. Biodiversity planning processes implemented	4.1 Experience shared and capacity built in the development and implementation of NBSAPs	Development of provincial BAP guidelines	75,000	55,000	50,445	Asia RBP
2.5	E	4. Biodiversity planning processes implemented	4.1 Experience shared and capacity built in the development and implementation of NBSAPs	South Asia regional Biodiversity Action Plan (BAP) workshop	25,500	25,000	23,221	Asia

KRA	KEGO	GBP Objective(s)	Expected Result(s)	Project	Orig. Budget	Actual Budget	Expenditure	Programme
6	E	4. Biodiversity planning processes implemented	4.1 Experience shared and capacity built in the development and implementation of NBSAPs	Building communication capacity among IUCN RCOs, members and partners	115,000	75,000	60,240	CEC
2	E?	4. Biodiversity planning processes implemented	<i>4.2 Implementation of national biodiversity strategies and action plans supported in several regions</i>		-	-	-	
3?	?	4. Biodiversity planning processes implemented	<i>4.4 The development and implementation of corporate biodiversity strategies by selected private sector institutions supported</i>		-	-	-	
3.6	G	5. Incentive measures developed and implemented	5.1 Support provided for funding mechanisms for CBD implementation and biodiversity conservation at national and regional levels 5.3 Support provided for incentives for CBD implementation and biodiversity conservation at national and regional levels	Regional Environmental Economics programme for IUCN Asia and Pakistan	86,000	86,000	43,000	Asia
3.6	G	5. Incentive measures developed and implemented	5.1 Support provided for funding mechanisms for CBD implementation and biodiversity conservation at national and regional levels	Amazon Basin Economics Workshop	17,300	17,300	17,300	SUR
3	G	5. Incentive measures developed and implemented	<i>5.2 Support provided to governments to use new financing mechanisms to implement the CBD</i>		-	-	-	



KRA	KEGO	GBP Objective(s)	Expected Result(s)	Project	Orig. Budget	Actual Budget	Expenditure	Programme
3.7	G	5. Incentive measures developed and implemented	5.3 Support provided for incentives for CBD implementation and biodiversity conservation at national and regional levels	Biodiversity Incentives and Economic Strategies	125,000	125,005	125,005	Economic s
3	G	5. Incentive measures developed and implemented	<i>5.4 Support provided to governments to use new incentive mechanisms to implement the CBD</i>		-	-	-	BPCD
2.5	E	6. Equitable and fair sharing of benefits	6.1 Support provided for the development of concepts, case studies and tools on sharing of benefits from biodiversity	Publication of Madras Workshop proceedings (on access and benefit-sharing)	25,000	15,000	13,361	Asia RBP
4.1	K	6. Equitable and fair sharing of benefits	6.1 Support provided for the development of concepts, case studies and tools on sharing of benefits from biodiversity	Development of Tools and Capacity for Benefit-Sharing	40,000	40,000	28,251	BPCD, SUR, Env Law
4	E	6. Equitable and fair sharing of benefits	<i>6.2 Support to capacity building of decision-makers to implement benefit-sharing measures provided</i>		-	-	-	
4	E?	6. Equitable and fair sharing of benefits	<i>6.3 Support to policy development and advocacy on benefit-sharing in key fora provided</i>		-	-	-	RCOs §§
5.1	K	7. Tools and methodologies for biodiversity assessment	7.1 The development of indices of biodiversity health from the IUCN Red List of Threatened Species are supported	Using the IUCN Red List to Develop Indicators on the Status and Trends of Biodiversity	34,000	34,000	34,000	Species

KRA	KEGO	GBP Objective(s)	Expected Result(s)	Project	Orig. Budget	Actual Budget	Expenditure	Programme
5.6	E	7. Tools and methodologies for biodiversity assessment	7.1 The development of indices of biodiversity health from the IUCN Red List of Threatened Species are supported	Regional Red List Training Workshop	30,000	20,680	30,000	ORMA
5.6	E	7. Tools and methodologies for biodiversity assessment	7.1 The development of indices of biodiversity health from the IUCN Red List of Threatened Species are supported	Strengthening the Red List Process as a Key Tool for Biodiversity Assessments in South and Southeast Asia	45,000	2,000	1,940	Asia
5.1	K	7. Tools and methodologies for biodiversity assessment	7.2 Tools developed to support the implementation of national, regional and global biodiversity monitoring systems and action plans beginning in Southern and Eastern Africa	Biodiversity assessment in the Southern African region	162,940	75,000	73,837	ROSA
5	G	7. Tools and methodologies for biodiversity assessment	<i>7.3 The biodiversity components of 'Wellbeing of Nations report' promoted within the CBD context, with a view to enhanced conservation measures being adopted by CBD Parties.</i>	<i>Technical input provided</i>	-	-	-	BPCD [Monit. and Assessment Prog.; RCOs]
5.7	G	7. Tools and methodologies for biodiversity assessment	7.4 Support provided to the development and advocacy of policies and tools on biodiversity impact assessments 7.5 Support provided to the advocacy of policies and tools on BIA	Biodiversity and Impact Assessment	125,000	75,000	69,102	Economic s

<b>KRA</b>	<b>KEGO</b>	<b>GBP Objective(s)</b>	<b>Expected Result(s)</b>	<b>Project</b>	<b>Orig. Budget</b>	<b>Actual Budget</b>	<b>Expenditure</b>	<b>Pro-gramme</b>
5	K	<i>8. Vulnerability to climate change clarified</i>	<i>8.1 Develop and refine tools for assessing the impact of climate change on biodiversity</i>	<i>Technical input provided</i>	-	-	-	BPCD
5	E	<i>8. Vulnerability to climate change clarified</i>	<i>8.2 Capacity of IUCN members to assess the impact of climate change on biodiversity built</i>	<i>Technical input provided</i>	-	-	-	BPCD
5	K	<i>8. Vulnerability to climate change clarified</i>	<i>8.3 Members assisted in designing and implementing monitoring and systems on the status and trends of ecosystem and species resiliency in relation to climate change</i>		-	-	-	
1.2	E	9. The options to strengthen capacity and management effectiveness regarding climate change identified	<i>9.2 Members and partners assisted to design methods to assess the effectiveness of protected areas in minimizing the impacts of, and adapting to, climate change</i>		-	-	-	
1.1	K	9. The options to strengthen capacity and management effectiveness regarding climate change identified	<i>9.3 Members and partners assisted to develop and implement anticipatory climate change adaptation strategies using an ecosystem approach</i>		-	-	-	
1.5		9. The options to strengthen capacity and management effectiveness regarding climate change identified	<i>9.4 Members and partners assisted in adopting and implementing policies and measures to address climate change adaptation</i>		-	-	-	

KRA	KEGO	GBP Objective(s)	Expected Result(s)	Project	Orig. Budget	Actual Budget	Expenditure	Programme
1.7	O	9. The options to strengthen capacity and management effectiveness regarding climate change identified	<i>9.5 Regional networks of Governments, NGOs and private sector to promote an ecosystem approach as an integral response to climate change developed</i>		-	-	-	
2.8	G	10. Carbon sequestration	10.1 Financial mechanisms and incentives for carbon sequestration activities as they related to forest and other ecosystems analyzed	Carbon sequestration, forest biodiversity, and livelihoods	30,000	30,000	15,339	BPCD
2.8	G	10. Carbon sequestration	<i>10.2 Members and partners assisted in designing and implementing positive incentive measures to promote the application of an ecosystem approach to carbon sequestration activities</i>		-	-	-	
4.1	K	10. Carbon sequestration	<i>10.3 Analysis of equity issues in relation to the costs and benefits of carbon sequestration and other climate change mitigation strategies as they relate to forests and other ecosystems</i>		-	-	-	
4.2	K	10. Carbon sequestration	<i>10.4 Develop practical mechanisms and innovative approaches for the equitable distribution of benefits from carbon sequestration activities as they relate to forests and other ecosystems</i>		-	-	-	

KRA 1 = Management and restoration of ecosystems  
KRA 2 = Agreements, processes and policies  
KRA 3 = Incentives for conservation  
KRA 4 = Equitable sharing of costs and benefits  
KRA 5 = Assessment systems  
KRA 6 = Information management and communication systems  
KRA 7 = Management and leadership

KEGO = Knowledge, Empowerment, Governance, Operations

§§ = lead or programme inferred from work indicated

Expenditure = most recent available data from Sun accounts (as of 16 April 2002).

*Text in italics* = Objectives, results and “projects” that are included in the quadrennial and annual Workplan, but do not have budgets.

Projects without corresponding objectives come from the Budget and Expenditure spreadsheet, but are not listed in the Phase III Workplan spreadsheet.

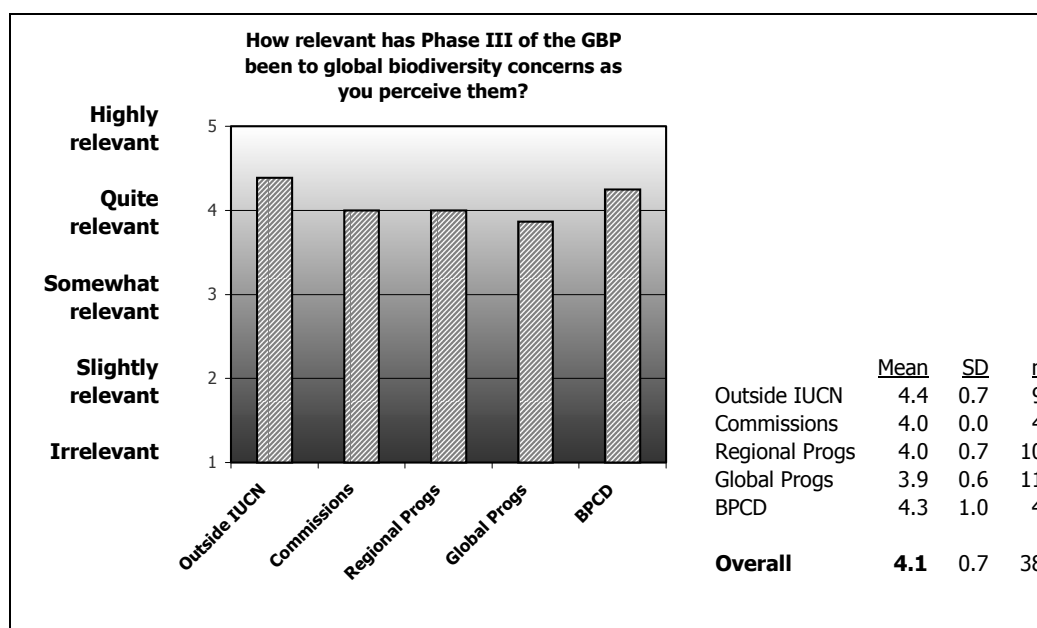
### 3. Programme performance

#### 3.1. Relevance

##### 3.1.1. Relevance to biodiversity concerns

Given the vast scope of global biodiversity concerns, how relevant has Phase III of IUCN's GBP been? One of IUCN's strengths has always been its multidisciplinary perspective, strong science, and clear understanding of key issues that must be taken into account to address biodiversity concerns. IUCN in general, and the GBP in particular, are seen by our respondents to be working on the right issues. The inconsistent but generally very broad definitions of 'biodiversity' in use today meant that we had to ask people to assess relevance with regard to biodiversity concerns 'as you perceive them'.

**Figure 4. Relevance to biodiversity concerns**



A "virtuous cycle" between IUCN and the Secretariat of the Convention on Biological Diversity (CBD) has meant that IUCN has been instrumental in setting the CBD agenda from the outset. Furthermore, the international biodiversity agenda is to a great extent established by the CBD. The GBP has been very relevant to this process in terms of global policy and in empowering regional voices to speak out. The programme has helped connect regional, national and key thematic issues to the CBD and to the international biodiversity agenda.

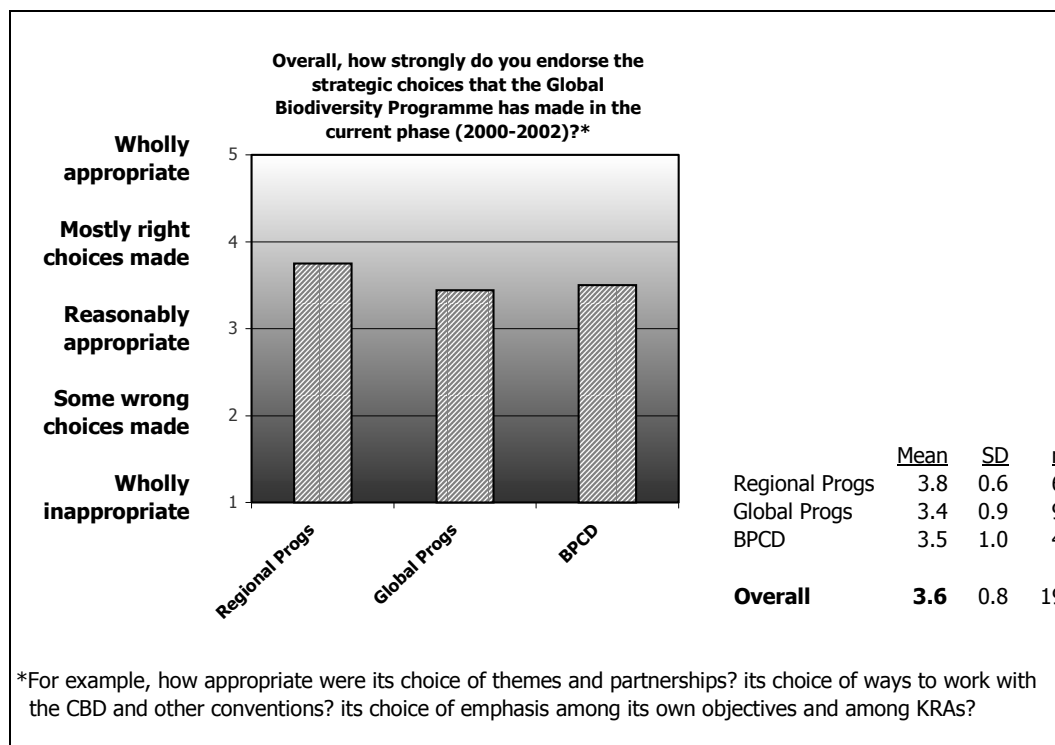
However, as both biodiversity and the global agenda are increasingly impacted by powerful global forces such as trade, macro-economics and climate change, IUCN will need to target other processes, such as the World Trade Organisation, the World Intellectual Property Organisation and the Convention on Climate Change, more strategically. Without this shift in effort, IUCN will run the risk that its efforts to conserve biodiversity are marginalised by global forces outside of its sphere of influence. The mandate of the new Policy, Biodiversity and International Agreements Unit (section 1.1) reflects recognition of this need, as IUCN expands its attention to other cross-sectoral international agreements.

##### 3.1.2. Strategic choices made

Within the overall framework of the relevance of its programming, we went on to ask IUCN staff how strongly they endorsed the strategic choices that Phase III of the GBP had made. For example, how appropriate were its choices of themes and partnerships? Did it choose the right ways to work with the

CBD and other Conventions? Did it balance its emphasis appropriately among its own objectives and among the KRAs of IUCN's Intersessional Programme? This is a complex question, but it matches the complexity of the programming challenge that the GBP presented, particularly after its original planning framework had been woven into that of the Intersessional Programme. However, respondents generally felt that the strategic choices made by the GBP were fairly good.

**Figure 5. Strategic choices**



One strategic area that perhaps did not receive enough attention was linking biodiversity with poverty and livelihoods. Nevertheless, many issues that are of critical importance for biodiversity conservation have been addressed in Phase III of the GBP, for example: economics, climate change, invasive species, agriculture, biodiversity indicators, wild meat, biosafety, the ecosystem approach, assessment methodologies for compliance with the CBD, and tools for benefit sharing.

There was, however, a common view that the programme had been spread too thin, by providing grants of relatively small amounts of money to a very wide range of project partners. Of all the projects funded by the GBP, the median actual budget is CHF 40,000 (Annex 6). The themes that were chosen were generally good, but there were too many – which is no doubt a reflection of the participatory nature of the programme and of its planning mechanism. This dispersal of effort affected the programme's efficiency (section 3.2), but even more importantly it is likely to have reduced the GBP's overall impact. A more coherent and focused approach to strategic choices at the outset of this phase would probably have enhanced the programme's ultimate impact.

*Strategic choices were a bit like feeding the fishes.*

- Survey respondent

## 3.2. Efficiency

### 3.2.1. Introduction

Although assessing the efficiency of this programme's operations does not appear directly in our TOR, it seems important to us to address the issue. Programme efficiency clearly influences programme effectiveness, and is partly a function of programme approach. Some of the efficiency issues to be

addressed here are integral to the institutional influences and effects, and the programmatic and organisational lessons learned, that our TOR do ask us to address.

### 3.2.2. Planning

Consistent with the enhanced focus on the regions in Phase III, Biodiversity Planning Meetings (BPMs) were used to discuss and prioritise the project's activities. These meetings were attended by representatives from several of the RCOs and global programmes of IUCN that were expected to want to participate in the GBP. The first BPM was held in January 2000, as Phase III was being launched, in order to discuss, prioritise and begin the implementation of key GBP activities. A second BPM took place in November 2000 to review the work done to date, reappraise the priorities agreed at the first BPM, and agree areas of work for 2001-2002. A final BPM that had been intended to assess progress and lessons learned in 2002 will not now be held, due to budgetary constraints.

The BPMs have been praised for their participatory and transparent approach, but they were high cost events relative to the size of the budgets they helped to allocate. Some survey respondents suggested that, for many of the project allocations resulting from a BPM, the cost of proposal preparation and/or BPM participation was higher than the budget allocated to the project by the GBP. On the other hand, the BPMs played an important role in the building of partnerships that Phase III emphasised, and helped foster integration among those different elements of IUCN that participated.

BPMs have also been criticised for their failure to make harder and more focused strategic choices, although the BPCD argues that this was not their role. Regardless of whether it was a failing of the BPMs, the lack of focus and strategy was indicative of the overall fragmentation that plagued Phase III of the GBP. As IUCN well knows from its more general experience, participatory but coherent and focused planning for a wide family of partners across a broad and multifaceted field of concern like biodiversity is immensely difficult. The GBP's experience is symptomatic of this broader problem. The focus became harder to find when planning for Phase III was cast in the broad and permissive framework of the overall Intersessional Programme, which was itself a retrofit intended to start creating more structure in the rambling and never wholly plannable work of the Union. There is a constant tension in participatory planning between the imperatives of participation and those of focus and coherence. This tension is exacerbated when the participatory approach is linked to a strategy of decentralisation. The challenge is to achieve a workable balance. The ultimate verdict on Phase III of the GBP is that it tilted too far on the side of participation and decentralisation.

#### Criteria applied to project funding by GBP Phase III

1. *Makes a substantial contribution to the IUCN Programme Framework and Strategic Results Areas for 2001-2004;*
2. *Addresses significant globally-relevant issues in ways pertinent to at least two regions;*
3. *Generates substantial additional project activity and co-financing;*
4. *Breaks new ground, or adds substantial new component to an existing major activity;*
5. *Generates information/experience that can be used to support policy development and is transferable across countries... and electronically...;*
6. *Builds capacity and/or has a training element;*
7. *Involves at least one each of global programmes, RCOs, Commissions and Members;*
8. *Is sustainable in that it can be integrated into the long-term regional/thematic programme;*
9. *Catalyses the Union to implement the CBD.*

IUCN BPCD, 2000: 1.

Planning for the GBP also reflected the dual nature of the programme, which comprises both programmatic and project elements. Large amounts of the total effort and budget were allocated to a range of functions performed by the BPCD (Annex 6). These were only loosely defined. By contrast,



there was more detailed planning for the large number of usually small project activities for which RCOs and some Commissions and global programmes were allocated funds.

Phase III of the GBP applied a number of criteria to the funding of these projects (see box above). Particularly important were those requiring each project to be a joint effort by a number of partners (7) and to generate additional funding (3). (Later, criterion 7 was relaxed, removing the requirement for the involvement of a member in every activity.) We return to these two important features of the GBP in sections 4.1 and 3.3.3 respectively.

Budgetary management of Phase III of the GBP was influenced by the fact that each annual allocation of funding from SDC had to be spent within the calendar year. It was also guided by the need to adjust the overall package to the variable expenditure and performance rates of the many projects that were receiving funding. Annual allocations to the recipient projects were adjusted according to the technical and expenditure reports received. Latterly, they were also influenced by the overall state of GBP finances (section 3.2.3). Allocations that had been planned for 2002 had to be cut because the project had spent more than had been assumed.

In practice, these arrangements led to confusion and, ultimately, recriminations. Despite the BPCD's insistence that it was made abundantly clear that allocations would have to be reassessed and possibly adjusted each year, some recipients did not acknowledge or understand this. Particularly in 2002, they have been upset to find that they cannot carry through with their plans and commitments because this annual process has not come through with the funds that they were expecting for this year. In any event, the annual nature of these planning and budgeting tasks certainly increased the administrative burden for all concerned and the rules of allocating, using and reporting on the funds were not communicated clearly enough to the recipients.

### **3.2.3. Administration**

Not surprisingly, the complexity of this programme placed a heavy administrative burden on the BPCD, and indeed on the various recipients of GBP project funding elsewhere in the Union. While the BPCD had 'micro-managed' projects funded under Phase II of the programme, imposing very strict reporting requirements, it handed more of the responsibility to the recipients of the funds in Phase III. While this should have reduced the load at headquarters, there were at least two reasons why it did not. First, the total number of projects in Phase III was greater. Secondly, the devolution of some administrative authority in Phase III did not remove overall responsibility from the BPCD. The BPCD still had to account for the programme as a whole, both internally in IUCN and also to SDC. Looser reporting requirements were one reason why this became increasingly hard for the BPCD to do coherently. The reporting flow from the projects was always inconsistent and often late. Providing this review with reasonably up to date summaries of activities and expenditure was an administrative challenge that, despite the very best intentions, the BPCD was unable to meet in full.

Two general administrative concerns relate to the high transaction costs of this programme. The first is communication. A collaborative venture like the GBP requires efficient communication. Phase III of the programme did not achieve it. Especially in the RCOs, some recipients of GBP funding had little sense of participation in a broader programme, despite the partnerships that the GBP had ostensibly required of them. They told us that, although communications were good to start with, they now have little idea of what has been happening in the programme as a whole, because they received less and less information about it as time went on. Given that the technology for efficient programme communications was in place, two conditions would have had to be met for this problem to be overcome. First, the BPCD would have had to have a more coherent strategic vision of the programme as a whole. Secondly, it would have had to have the staff resources to express and develop this vision through proactive communications with programme participants. Neither of these conditions was met.

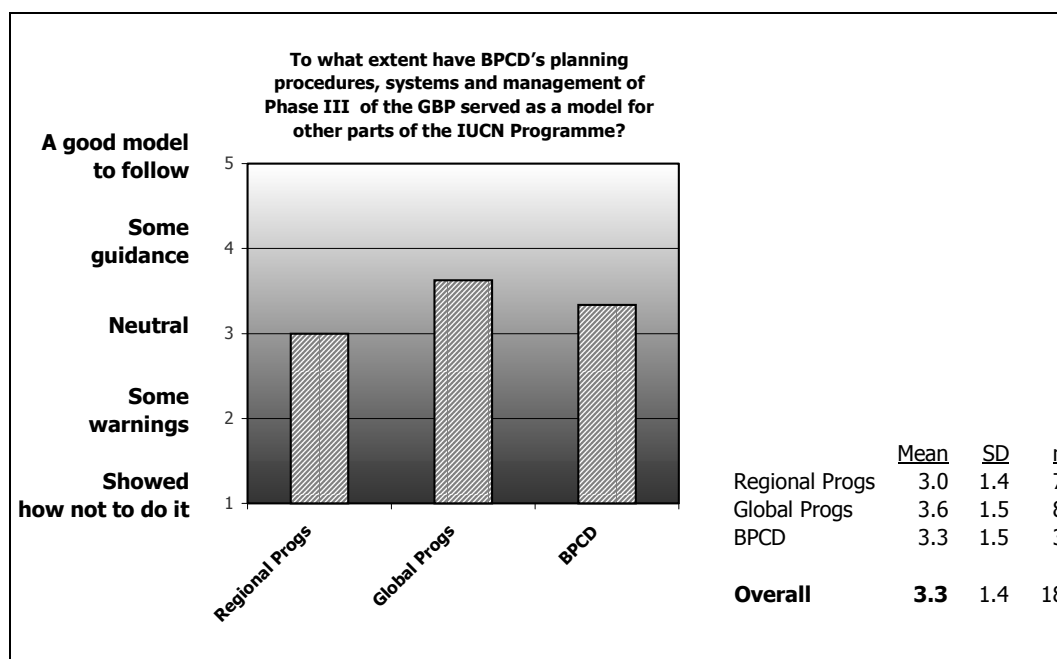
The second general concern is budgetary management. It has not been within the scope of this review to investigate the issue in detail. But it is clear that there have been significant miscommunications within IUCN headquarters about how the funding for this programme was to be allocated between

BPCD staff costs and the budgets of the various projects that the GBP funded. The BPCD appears to have been taken by surprise during 2002 when it realised how little project funding was going to remain available for allocation this year – even though no new projects were being launched and the year was meant to be devoted to completing activities that had already been approved. Despite the BPCD’s apparent emphasis to all participants that all project funding would have to be reassessed and possibly adjusted this year, a number of those participants reported to us that they have been severely impacted by what they see as the sudden evaporation of GBP funding for 2002. Indeed, some respondents had made commitments to other donors in co-funding arrangements that they now can no longer honour because of the shortfall in funding available in the final year of the GBP.

At the heart of many of the programme’s administrative problems are two related difficulties with its fragmented, year-by-year approach. Both arise from the fact that much of IUCN’s work concerns process. By definition, it needs to evolve organically, and it takes time. As one participant explained it to us, “we are working on process, but all the GBP can fund is fragmented activities”. Secondly, as other participants have emphasised, it is dysfunctional to try to plan and manage this type of work on a year-by-year basis.

Not surprisingly, therefore, survey respondents (all Secretariat staff) were lukewarm when we asked them to what extent the BPCD’s planning procedures, systems and management of Phase III of the GBP had served as a model for other parts of the IUCN Programme.

**Figure 6. A management model to follow?**



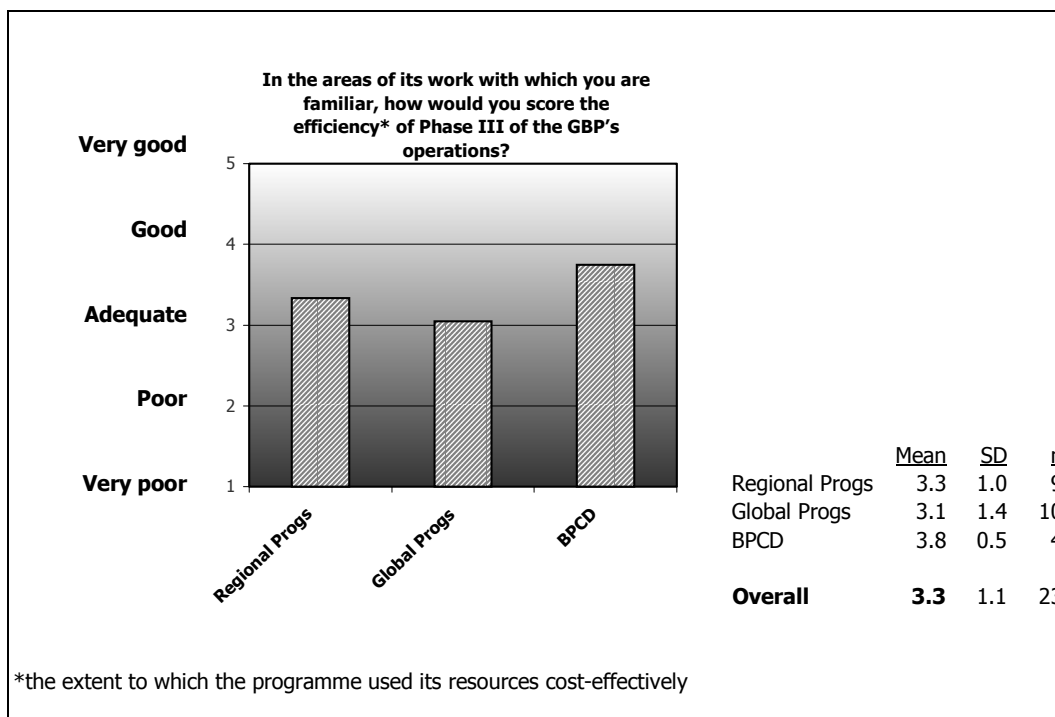
#### 3.2.4. Cost effectiveness

This should have been a cost effective programme. It was intended that every activity it funded should be able to leverage additional funds from elsewhere (section 3.3.3). Furthermore, the programme did not fund project overheads, as SDC project funding to IUCN does not permit that kind of support. (The Swiss contribution to IUCN overheads is made through the government’s annual membership payments.) However – although not all participants appear to have realised this – it was possible for project budgets to include staff time, office costs etc. if these were separately itemised.

Overall, survey respondents did not judge the programme to have been highly efficient, when we defined efficiency in terms of cost effectiveness (question 23, Annex 3). This was because of the high transaction costs and heavy administration loads that the structure of the programme imposed (sections

3.2.2, 3.2.3). A deeper reason, for some respondents, was that supporting process work through this sort of fragmented funding of activities turned out to be almost more trouble than it was worth.

**Figure 7. The efficiency of GBP operations**



The programme was arguably much more cost effective in its work on global policy. Although assessment of the policy impact of the programme is beyond the scope of this review, the GBP's policy work is generally judged to have been effective and valuable (section 3.3.1). IUCN used this programme's resources to influence global policy in many ways, notably through the CBD. The scale of results achieved here, although diffuse and hard to measure, is certainly greater than that of the budgets the GBP had available for playing this catalytic role.

### 3.2.5. Monitoring and reporting

A programme review like this always depends on two related factors: the clarity and logic of programme design, and the design and performance of programme monitoring and evaluation (M&E). A key part of the M&E process, of course, is the internal and external reporting that the programme carries out. The reviewers' task is much easier:

- if the programme was clearly and logically designed;
- if that design included an M&E system that would report progress against design; and
- if that M&E system has operated efficiently.

As we have shown above, the design of this programme was complex, and it evolved through several stages. But it always set out objectives and results, specifying the activities that were intended to achieve the results. The Phase III programme document as originally approved for funding did not specify an M&E system, but did commit the programme 'to develop a monitoring and assessment plan with project partners and SDC in early 2000' (IUCN, 1999:6).

With the assistance of the IUCN M&E Initiative, an M&E framework for Phase III was duly designed. But it has not been used, partly because the detailed labour of reporting on all the small component activities of the programme was too much for anyone to want to do. Even getting straightforward

progress reports from programme partners has proved to be very difficult for the BPCD. The M&E framework that was developed for Phase III has disappeared so completely that the BPCD was unable to produce a copy for this review to see.

This obviously makes it very difficult for us – even if we had more time – to offer a detailed assessment of the programme’s activities, or to measure programme effectiveness against its objectives. It can be argued that this is not the main purpose of this review, which should instead concentrate on the overall programmatic direction and achievements of Phase III of the GBP. Even at that level, however, programme reporting is unhelpful. The BPCD struggles to compile annual reports from the incomplete scraps of project reporting that it eventually manages to coax from its partners. What does make its way into the annual reports is only that: shorter and longer summaries of some of the component activities and their outputs. While it may be logical to present these by Key Result Area (KRA) of the overall IUCN Intersessional Programme, the reader immediately starts to drown in the detail. There is no overview of programme performance or direction. With such unfocused design and content, it would be almost as hard to write such an overview as it would be to summarise the performance and direction of IUCN as a whole. But the BPCD should at the least offer a summary of what has been achieved in each KRA, and offer some synthesis of what is happening to global biodiversity concerns and IUCN’s role with respect to them.

### **3.3. Effectiveness**

#### **3.3.1. Achievement of intended results**

It has proved to be beyond the capacity of this review to ‘assess the extent to which the expected results of Phase III were achieved’ (Annex 1 and section 1.2 above). When programme planning was revised in 2000, it was spread across ten objectives (section 2.2 and Table 2). But there has been little subsequent reference to these objectives. Instead, the annual reports and plans have since been structured according to the Intersessional Programme’s KRAs. The assumption seems to be that the KRAs and their component results are now the legitimate target framework for Phase III of the GBP. Within the KRAs, 36 programme activities are spread across some 17 Intersessional Programme results. But another 28 activities can only be keyed to KRA generally, and not to a specific result within that KRA.

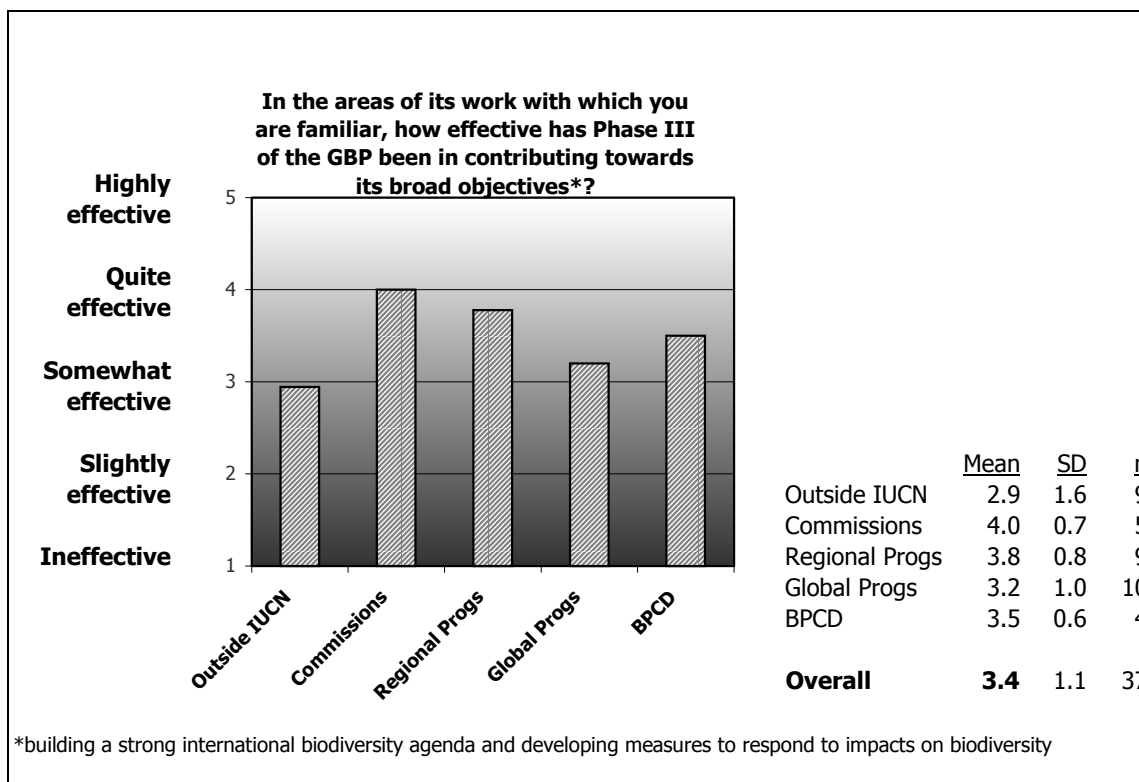
What, then, are ‘the expected results’ of Phase III? It might be useful, if we had the time and the improbably broad range of technical competence required, to assess the extent to which the programme had contributed to each of the specified Intersessional Programme results. But that would mean reviewing only part of the programme, since it is not very meaningful to assess performance with respect to a KRA, and many activities are keyed to KRAs only. The ten objectives (not the 45 results!) of the 2000 revision of Phase III would in fact be a more meaningful yardstick for assessing performance. However, they are of course worded in rather general terms and the two effective working years of Phase III that we are reviewing could only make scattered contributions to achieving them. Furthermore, those ten objectives have received so little attention in the last two years of the programme, that to review performance against them now would be a rather academic exercise.

In a theoretical sense, Phase III of the GBP has been entirely ineffective, because there is no meaningful and workable set of objectives against which to measure its performance. This is the consequence of the series of retrofits through which Phase III planning has evolved. In a practical sense, however, there is little argument that the project has supported a range of valuable work that contributes in various ways to whichever set of objectives or results one cares to choose from the history of the last few years’ planning.

The best we can offer in this review is a selective commentary on the GBP’s work in certain KRAs, with reference to some of the ten revised objectives that were set out for Phase III in 2000. Most of this commentary will refer to the programme’s work in the field of policy, as that is where the most effort has been concentrated and where we had the most coherent response from our questionnaire

survey. But we can begin with the single overview question on programme effectiveness that we included in that survey. We framed that question in terms of the two overall objectives for Phase III that were defined for it at the outset (Figure 8 below). The results were mildly positive, with those outside IUCN expressing the most reservations.

**Figure 8. Programme effectiveness**



Unfortunately, we violated good practice here by effectively asking two questions in one. We had hoped that people would give us an integrated answer, but many perceived an important differential in performance on these two broad objectives. Some respondents emphasised that it has been easier for the programme to make progress with a strong international biodiversity agenda than it has been to help develop practical response measures. This is the challenge of the CBD writ large. In fact, it can be argued that this second objective was an unrealistic one for a three year programme of limited means. In practice, neither of the broad objectives has been explicit in the programme's planning or reporting since 2000.

As Figure 1 shows, Phase III of the GBP has spent more on activities in KRA 2 (Institutions, Agreements, Policies and Processes) than any other. This is also where more BPCD staff time has been used than in any other KRA. Many of the activities in KRA 2 are not keyed to any specific result, and the staff time spent on policy and process work is not budgeted or accounted for by result. This wide area of work corresponds to revised objective 1 in the 2000 plan for Phase III (see box below), although it also spreads into objectives 2, 3 and 4. The most prominent KRA 2 results to which it contributes are 2.1, 2.2, 2.5, 2.6 and 2.8.

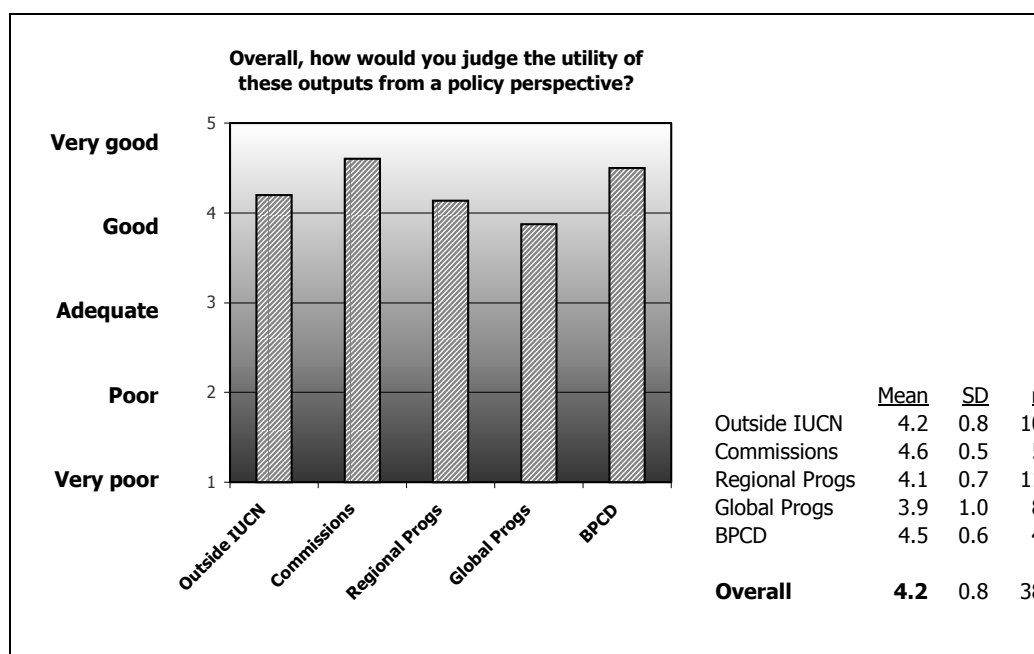
**Policy related objectives in the 2000 plan for Phase III**

1. *Decisions and policies affecting biodiversity influenced by recommendations and guidelines provided, based on sound interdisciplinary scientific information.*
2. *Governments, the scientific community and civil society have greater commitment to the conservation, sustainable use and management of biodiversity.*
3. *Biodiversity-related agreements implemented in a synergistic manner.*
4. *Integrated and effective biodiversity planning processes implemented by governments and relevant institutions.*

**Most relevant KRA 2 results**

1. *Technical and legal analyses of critical issues for selected agreements.*
2. *Tools and guidelines to assist the implementation of major agreements, processes and policies.*
5. *Enhanced regional and national legal and institutional capabilities for implementation of key agreements that affect biodiversity conservation.*
6. *Use of key biodiversity-related agreements to promote conservation as a result of IUCN's influence.*
8. *Synergies between key agreements, processes and policies are enhanced as a result of advocacy by IUCN.*

Virtually all of the respondents had used one or more of the programme's policy-related outputs. Commonly cited examples were Global Biodiversity Forums (GBFs), CBD policy briefs, climate change papers, policy papers on access and benefit sharing, guidelines for invasive species, biodiversity assessments, tools for implementing National Biodiversity Strategy Action Plans (NBSAPs), and national preparatory sessions for the CBD. As can be seen from Figure 9, they generally judged the policy utility of these outputs to be good.

**Figure 9. Policy utility of programme outputs**

It is widely recognised that many countries – especially developing countries and some European states – use IUCN documents to develop their positions. IUCN has had a strong influence on the working documents produced by the CBD, the technical recommendations by SBSTTA, and on

decisions taken by the COP, and there are numerous examples of IUCN positions, and even language, reflected in decisions at international policy forums.

For the recent CBD COP in The Hague, IUCN had identified four priority issues: forests, invasive species, access and benefit sharing (A/BS), and the CBD strategic plan for its lobbying and advocacy work (Chouchena-Rojas, 2002). Results at the recent COP were mixed at best. The new CBD programme of work on forest biodiversity does include some key elements supported by IUCN (the ecosystem approach, management effectiveness of forest protected areas). However, a preamble to the work programme contains a disclaimer that the activities are not necessarily relevant to all parties, and the initial focus areas are aimed at the Secretariat, not the parties. A substantial achievement, influenced by IUCN's and GISP's long and hard work on invasive species, was the COP's resolution adopting the guiding principles on alien species. Unfortunately, the invasive species issue was thrown into complete disarray by a serious problem relating to rules and procedures and how they affect national sovereignty; this could result in questioning of the resolution during the intersessional period or the re-opening of the resolution in COP7. Regarding A/BS, IUCN's policy was frequently quoted, and the delegation was directly involved in formulating the draft guidelines, which made some significant steps forward. COP decisions regarding the strategic plan were somewhat disappointing in that they do not specifically state what the CBD has decided to do, nor what mechanisms, timing and planning are intended to meet the objectives.

In addition, national preparatory meetings for the CBD, and efforts to support the development of NBSAPs at both the national and subnational levels, have made an important difference in certain countries in providing the basis for implementing the CBD in specific contexts. Good work was reported in this regard from East Africa, Central America, North Africa and the Middle East, but some European and North American countries also use IUCN policy briefs in their preparations for CBD COPs.

*A catalyst for critical thinking by delegates.*

-Survey respondent

In preparation for COP6, IUCN made important technical contributions during the intersessional work, particularly at SBSTTA6 in March 2001 and SBSTTA7 in November 2001.

As for the previous CBD COP held in Nairobi in May 2000, overall, this COP was quite successful for IUCN, particularly in terms of the influence of IUCN position papers on a range of agenda items. On most of the agenda items, delegates frequently quoted the relevant IUCN position. Most of IUCN's recommendations were included in COP decisions, and there was an explicit call from COP5 for collaboration with IUCN on key areas of the Union's programme, especially invasive species (as part of the Global Invasive Species Programme), incentives, the proposed Global Strategy for Plant Conservation, education, impact assessment, and agricultural diversity.

One factor compromising the utility of IUCN's policy papers for the CBD is the fact that the details of issues to be discussed at upcoming CBD meetings are often not known until very late. This problem is inherent in the CBD process itself, and it means that often IUCN's policy papers cannot be produced early enough to reach many of the delegates before their preparatory meetings to develop their country's position. The frustration expressed by some respondents about delays or inadequacies in the GBP-supported preparatory work for the CBD reflects the high esteem in which this work is generally held. Around the world, people want more of this IUCN output. They want it earlier, in more countries and in more languages.

Although IUCN's work in the policy arena is widely praised, two shortcomings surfaced during the review. Some respondents felt that IUCN has a tendency to be somewhat insular, or inward-looking – developing policy papers based on what the Union is already doing, and without sufficient liaison with other actors in the biodiversity field.

The other limitation in IUCN's policy work is perhaps a result of the nature of the organisation itself. One of IUCN's greatest strengths is that its work reflects the consensus of a very broad constituency. On contentious issues, the very process of reaching agreement within the Union may mean that,

although based on hard science and clear priorities, sharp, focused positions become softened and more general - with the result that the policy outputs of this process may be less useful, especially for lobbying or campaigning. Again, this is the broader problem of the CBD: converting general intentions that everyone will agree with into meaningful action on the ground. In getting agreement, IUCN sometimes pays a price in the potential impact of its policy proposals. Given the nature of the Union and the broad context in which IUCN works, the overall success of its policy work is all the more impressive. Moreover, it can be argued that the 'softened', consensus character of IUCN's policy recommendations makes it more likely that they will be accepted in forums like the CBD, which by definition can only move forward on the basis of consensus positions.

The GBP has supported a range of more focused policy work that feeds in to the CBD. The outputs have generally been of high quality and have been effective in increasing awareness at national and regional level as well as in influencing global debate and policy in the CBD and other forums. The GBP-funded work on carbon sequestration had a difficult gestation, as the BPCD procured and harmonised inputs from several different agencies. But it ultimately achieved a strong statement in the CBD on the need for climate change mitigation to be consistent with the objectives of the CBD.

The 'Pathfinder Workshops' on the ecosystem approach that were funded by Phase III of this programme in 2000 helped ensure that this approach, developed over several years by the Commission on Ecosystem Management (CEM), was adopted by the CBD.

IUCN enjoys high credibility at the CBD, and achieves much more in that arena than would seem likely from the comparatively modest amount of expenditure that has been available with GBP funds. This area of the programme's work is certainly cost effective. But opinions are mixed as to the effectiveness of the CBD, and therefore the value of all this IUCN effort with the CBD. We also heard various suggestions about how IUCN's work with this and other multilateral environmental agreements (MEAs) could be improved (section 5.6).

Another widely appreciated activity to which GBP Phase III funding has contributed is the Global Biodiversity Forum. This has become a consortium event with funding from several sources, but the BPCD continues to provide the secretariat for the GBF, and this has to date been funded by the GBP. GBFs have been held in many parts of the world, in association with other MEAs as well as the CBD. For example, the GBF held before a Ramsar COP in Costa Rica was considered to have been highly effective, and the GBF held in Montreal is credited with having helped launch the IUCN's climate change programme. Overall, the GBFs are appreciated for their informality and for the fact that all stakeholders in MEAs can meet on equal terms. At the formal COPs, NGOs are often less able to express themselves and discussions often descend to the lowest common denominator of international diplomatic agreements. At the GBFs, diplomatic language is not necessary and more meaningful discussion often takes place. GBFs linked to the more bureaucratic conventions, such as the CBD, are therefore particularly valuable. However, there is a risk that the GBF formula is overworked. We attended a GBF prior to the CBD COP6 in April 2002 and found much of the plenary discussion rather general. We heard little in the plenaries that seemed to be at the cutting edge. There is also the temptation to apply the successful GBF formula to too many MEAs. Holding more than three GBFs a year would risk losing administrative and substantive quality.



Another MEA on which the BPCD has worked directly during the latter part of Phase III is the UNFCCC. The BPCD took over IUCN's Climate Change Initiative in January 2001, and the technical officer working on climate change moved to Gland from Washington some six months later. So far, outputs have been limited, and the volume of funding and effort that the GBP devotes to this Convention cannot be compared to that directed to the CBD. The primary challenge is to integrate biodiversity concerns into the climate change agenda. Some progress was made in this regard through GBP-funded attendance at the climate change meetings held in Bonn and Marrakesh last year, and the GBP is credited with having helped move the debate towards more substantive issues. Many respondents question whether IUCN is right to continue giving so much attention to the CBD as compared with the UNFCCC and other MEAs. We return to this issue in section 5.6.

The KRA in which Phase III of the GBP has invested the second largest amount of its SDC funding – although a more modest amount of BPCD staff time - has been KRA 1 (Effective Management and Restoration of Ecosystems). The work here has spread across most of the KRA 1 results (see box) and links to three of the ten objectives set out in the 2000 replanning of Phase III. Strong achievements in this wide range of activities include the forest restoration work undertaken in Asia and Central America, which has helped IUCN and partner organisations in those regions and globally to give new emphasis to the restoration of forest ecosystems. Several important activities on alien invasive species (AIS) have been funded. They have helped raise this issue on regional (such as Central America and South East Asia) and global agendas (for example at the recent COP6 of the CBD) and have promoted the role of IUCN in the Global Invasive Species Programme.

An important activity contributing to KRA 1.5 has been a wild meat initiative undertaken in Central Africa. Although it had a small budget from this programme (CHF 40,000), it succeeded in altering regional and global perspectives on the wild meat issue, linking biodiversity and development agendas more effectively and raising the profile of one of IUCN's traditionally weaker regions. This activity was also significant because of the partnerships it stimulated (section 4.1).

Phase III of the GBP has seen important progress by IUCN in its regional environmental economics work. SDC funding has been used for a number of these activities, although it has only been a small fraction of the total in each case. Some of this work has contributed to key result 2.2 of the Intersessional Programme, notably the project on mainstreaming biodiversity into the economic policies, programmes and plans of the forest sector in East Africa, Asia and South America. Other work has fallen under KRA 3 (Incentives, Including Finance, for Conservation of Biodiversity and Sustainable Use of Natural Resources), and has been carried out both at national and regional levels (Pakistan, Asia), as well as the global level. It all supports objective 5 of the 2000 Phase III plan

#### **KRA 1 results to which GBP Phase III has contributed**

1. Guidelines, tools and policies in support of effective ecosystem management and restoration.
2. Assessment of the effectiveness of measures to establish, manage and restore protected areas.
3. Assistance and capacity building for better ecosystem management and restoration in and outside protected areas.
4. Capacity building to provide ecologically and socially relevant tools to minimise the impacts of invasive species.
5. Support for institutional and legal frameworks for conserving biodiversity in and outside protected areas.
7. Strengthening of networks, working groups, partnerships and forums in support of ecosystem management.

#### **Related objectives in the 2000 plan for Phase III**

1. Decisions and policies affecting biodiversity influenced by recommendations and guidelines provided, based on sound interdisciplinary information.
3. Biodiversity-related agreements implemented in a synergistic manner.
9. The options to strengthen capacity and management effectiveness to minimise the effects of, and adapt to, the effects of climate change identified.

(‘Governments and users have developed and implemented incentive measures and financial systems that support biodiversity conservation and sustainable use’). In some ways the GBP’s contribution to the regional environmental economics work has been more conceptual than financial. As we have noted, the direct funding has been a minor part of the total. But the way in which GBP funding supported inter-regional partnerships, and the way in which the GBP link helped stimulate involvement in sectoral and national activities like forest programmes and National Biodiversity Strategies and Action Plans (NBSAPs), have been much appreciated. Programme support has enabled cross-regional capacity building, and capacity building within country offices, in environmental economics.

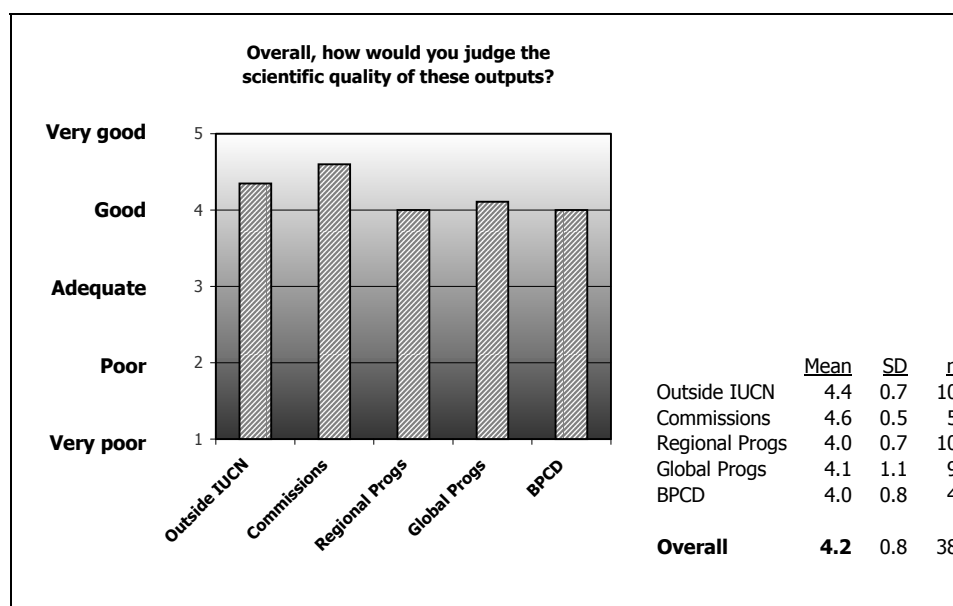
Although the Biodiversity Economics Unit at headquarters was originally funded alongside the Global Biodiversity Support Unit by Phase I of the programme, economics has had a succession of different institutional homes in headquarters since then. The headquarters economics programme has not been closely linked to the BPCD during Phase III. Some CHF 200,000 of Phase III funding was provided to two economics projects (on incentives and on biodiversity and impact assessment), but the regional economics work that Phase III has supported had a much higher profile in our survey respondents’ perceptions.

This has been a quick survey of some of the more prominent areas of IUCN work funded by Phase III of the GBP. There have been other important and apparently effective activities that we have not been able to mention here, although all of them are listed in Table 2. Although an accurate assessment of programme effectiveness is impossible for the reasons outlined above, our overall conclusion is positive. The programme has been successful in achieving many of its intended results, whether one defines those intentions with reference to the KRAs of the Intersessional Programme or in terms of the revised Phase III plan drawn up in 2000. As ever in IUCN’s work, the main achievements have been in the realm of words, knowledge and ideas. The constant challenge is to translate these achievements into practical action to conserve biodiversity.

### 3.3.2. The scientific quality of the programme’s work

Our survey included one alternative approach to the issue of programme effectiveness. It asked how respondents judged the scientific quality of the programme outputs with which they were familiar. Science is meant to be at the heart of IUCN’s credibility in biodiversity policy and action. If IUCN’s science is not strong, its programmes cannot be effective. It would appear that the Union’s scientific reputation continues to be good.

**Figure 10. The scientific quality of the programme’s work**



Various qualifications were expressed. For example, some respondents pointed to the risk of complacency in IUCN's assumption that its Commissions represent scientific excellence. Others argued that the question should not really be about scientific quality as such, but more about the quality of IUCN's work as applied science, and the connections that IUCN facilitates between policy, science and practice (section 4.3)

### 3.3.3. Leverage of extra funds

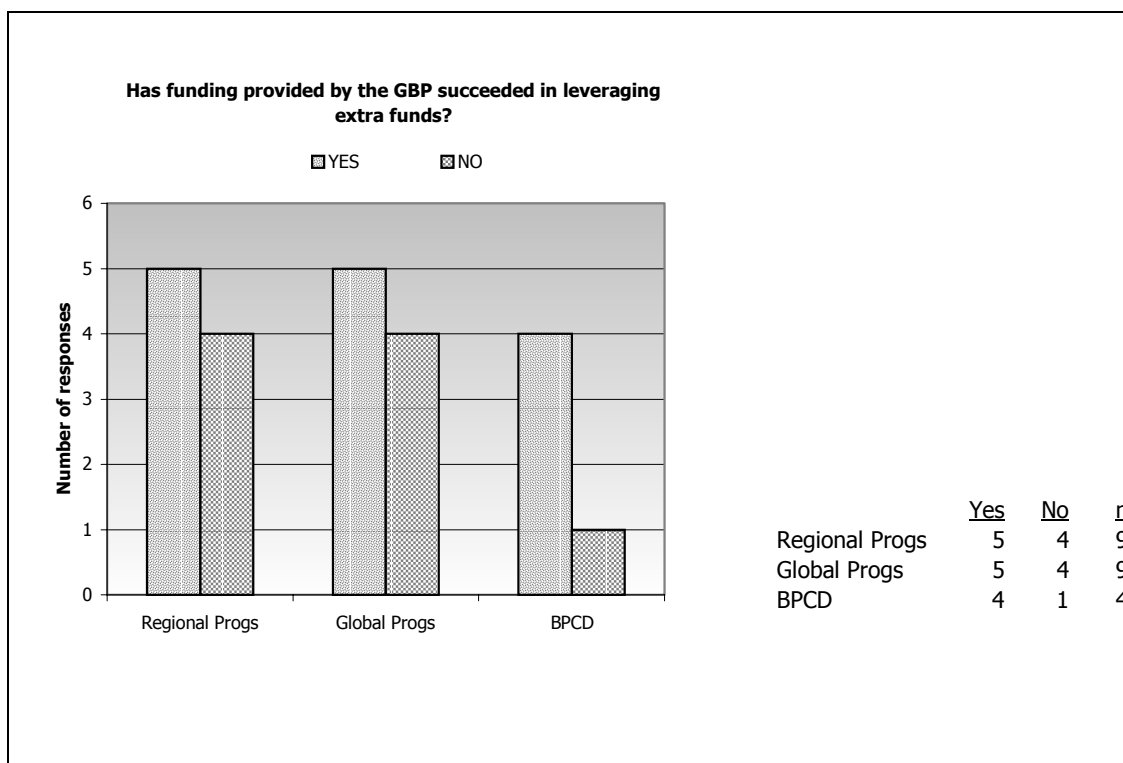
One of the GBP criteria for funding projects (see box on page 1) was that every project should have other sources of funding; ideally GBP funds should represent no more than 25% of a project's budget. While many people interpreted this as a cost-sharing requirement, the original intention was apparently to emphasise the innovative nature of the activities being supported. It was hoped that the SDC funds would be seen and used as seed money to try out new ideas and demonstrate their potential, thus attracting more support from other sources. An important dimension of programme effectiveness is therefore the extent to which this leveraging took place.

Data are not available at this point from IUCN on which projects succeeded in raising additional funding, nor on the amount of funds that were leveraged through the GBP grants. The BPCD plans to collect these data by the end of the project, and to report on this in the final project report in early 2003.

Of the respondents in the present survey, about half reported that additional funds had been raised (Figure 11). GBP projects obtained funds from, among others, BMZ, the CBD Secretariat, Central American governments, Conservation International, the Darwin Foundation, the Dutch Government, Ford Foundation, GEF, the Norwegian government, SDC Innovation Fund, UNDP, US Forestry Service, White Oak Foundation, WRI, and WWF.

The Asia Regional Biodiversity Programme (RBP) provided an example of leveraging of extra funds. The Asia RBP received a budget of CHF 341,400 from the GBP for 13 projects, and raised an additional CHF 280,000 for nine of these.

**Figure 11. Leveraging of extra funds**



The intent was for the GBP to provide seed capital as a catalyst for strategically important initiatives. However, in some cases the project partners already had funding when they requested additional funding from the GBP. Some projects leveraged in-kind contributions instead of, or in addition to, leveraging additional funding. Other partners committed to raising the additional funds needed for their projects, but then found that this did not materialise. A number of under-funded and unrealistic projects resulted, together with the frustration that that entails. Furthermore, although co-financing was often considered to be a good concept, for some projects with multiple donors, the amount of time spent on finance and administration was excessive.

*A problem is to tie in global thinking with regional and national realities, for example thinking you could initiate a network of biodiversity planners within the region, and expecting the RCO to do that within one year. But regions have different capacities and situations. Different levels of working, therefore different levels of outputs. Another problem is that decisions on funding were purely top-down. You make suggestions, but are told that this is what is available. Some regions have been lucky because this came when they already had other biodiversity projects and other biodiversity donors. Not the case in my region... Resources did not meet the regional needs, and we could not raise extra. We were originally supposed to work with ten countries, but only worked with three. Unrealistic expectations. With a little amount of money, other regions could do a lot because they had co-funding.*

- Survey respondent

### 3.3.4. Strategic leveraging

In addition to direct financial or in-kind leveraging, we also attempted to learn about strategic leveraging – how engagement in the GBP may have enabled IUCN's profile to be raised in terms of financial investment or support by other donors, or how its policy work may have resulted in support or requests for more policy work by IUCN, or how it may have promoted the implementation of IUCN's programme generally. For example, engagement in the GBP did raise the Asia RBP's profile, and resulted in new funding from other donors such as BMZ. The GBP allowed the Asia RBP to build an information base on biosafety, an emerging issue for IUCN and other organisations. This leveraged additional support for capacity building, with the result that the RBP is now solicited as a partner, not only in Asia, but also in Latin America, East Africa, and the Pacific Islands, for support on biosafety work.

Through the GBP, the RBP supported many countries in Asia to prepare for the CBD. The usefulness of this has been widely recognised, and because of its track record on CBD preparations, the RBP is solicited by other countries in Asia for support with other conventions, such as the UNFCCC.

In East Africa, GBP support was used to bring experts and field people into global processes – many for the first time. These practitioners find that with guidelines approved by the CBD, they have new entry points, and can work with their national governments in ways that they could not before. For example, as a result of the CBD adoption of the global plant strategy, botanists now have a tool to press for implementation to save rare plants in 180 countries that are parties to the convention.

Helping countries with regard to their obligations under the CBD is generally synonymous with implementing IUCN's own mandate, and IUCN's CBD work has produced many positive synergies. For example, IUCN worked hard to put invasives on the agenda of the CBD, which in turn led to a good partnership between the CBD and GISP, and to opportunities for funding, and to better positioning for IUCN's invasives work.

Likewise, IUCN is working to develop a programme on drylands, and the CBD has also asked IUCN to participate in developing drylands work in the CBD. This sort of synergistic leveraging is expected to help IUCN influence the CBD agenda, and also to generate work and support for further programme development of IUCN's own dryland agenda.

Finally, it would seem that the GBP has had a positive impact on IUCN's relations with many of its members, who consider many of the products of the GBP to be of value to them. This 'value-added' perception of IUCN has no doubt helped produce or sustain good relations with members and donors.

## 4. Programme approach

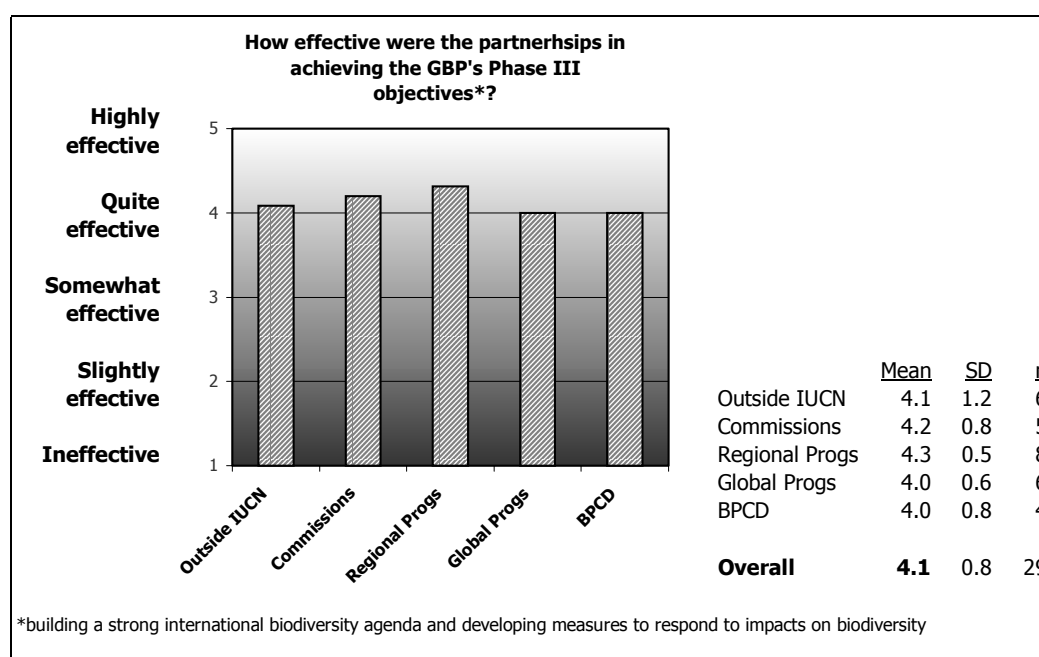
### 4.1. Partnerships

One of the most prominent features of Phase III of the GBP, and one of the most interesting aspects of its experience for IUCN as a whole, is its promotion of partnerships among and between RCOs, global thematic programmes and Commissions. As we have seen (section 3.2.2), it was a criterion for programme funding that each activity be based on such partnerships. This certainly stimulated interaction between the various parts of the Union, and the programme's policy work has involved it in a broad range of other partnerships with MEAs, NGOs and other international agencies. Biodiversity policy work also involved a range of partnerships between different parts of IUCN. RCOs, country offices, global programmes and the BPCD interacted in various ways as they prepared themselves and their collaborators for CBD events.

There is little doubt that, because of its structure as a global Union, IUCN is well placed to develop productive partnerships between its components and regions. It is also well known that IUCN has used this potential too little in the past. Stronger collaboration between RCOs is a particularly desirable target, given their closer links to members in some of the areas of greatest biodiversity concern, their usually lower operating costs, and the general principle that the real or perceived domination of IUCN's northern headquarters should be reduced.

Our survey asked respondents what kind of partnerships had been built or used by Phase III of the programme. They mentioned many, within and beyond IUCN. Then we asked how effective they felt these partnerships had been in achieving the two initial broad objectives of Phase III. As Figure 12 shows, the programme scored well in this regard.

Figure 12. Effectiveness of partnerships



This high score is probably influenced by the broad range of partnerships that respondents had in mind. Many of these were not the ones that are of most interest to this review, or to the Union as a whole – in other words, the partnerships that were developed between different parts of IUCN. The most prominent of these have been the ones between RCOs. When we asked IUCN staff more specifically about the effectiveness of these inter-RCO partnerships, we got a less positive response (Figure 13). Although the idea was still widely commended, the general verdict was that there is still a long way to go. Furthermore, such horizontal partnerships go against the usual grain in IUCN. One respondent argued that the fragmentation of the programme made it difficult for these partnerships to become effective. Another felt that the inter-RCO partnerships were most effective at the planning phase, and quoted the positive atmosphere at the Biodiversity Planning Meetings. Later, the interaction was less thorough.

*Developing partnerships absorbs energy in the short term but will pay back over the long term.*

*Has brought about a 'United IUCN' in addressing the biodiversity agenda, albeit in a limited way.*

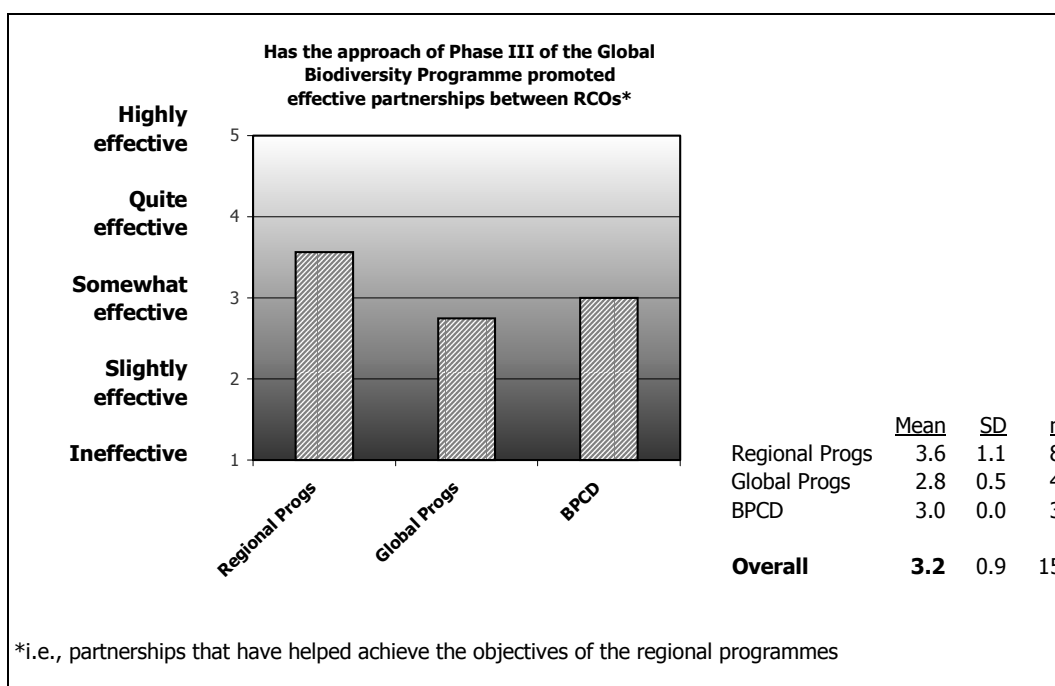
- Survey respondents

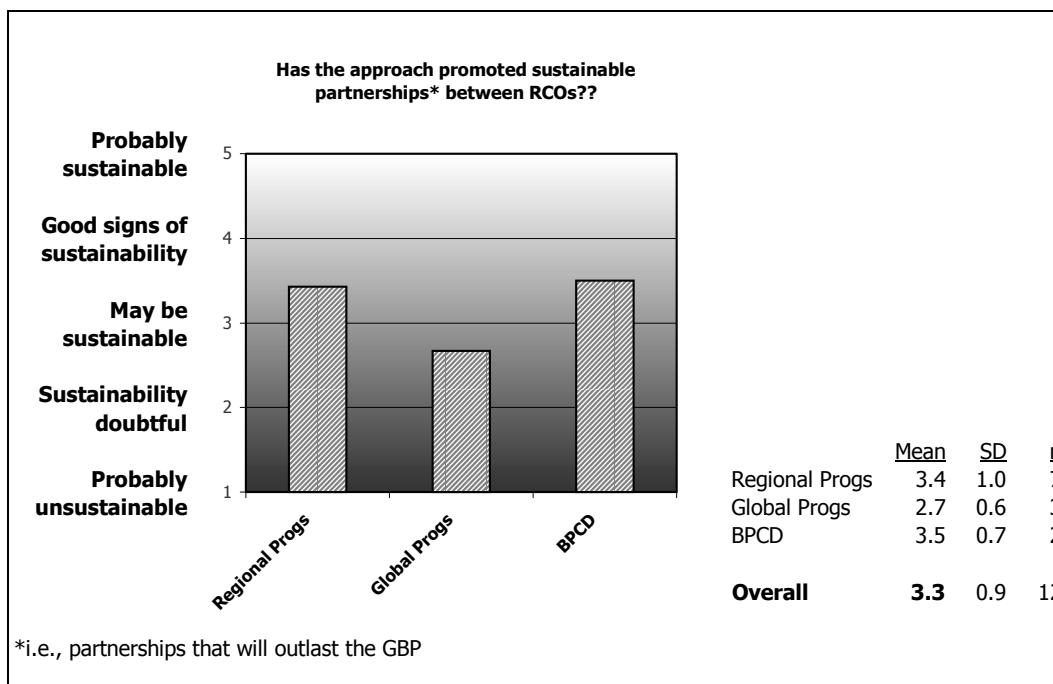
We got a similarly cautious response when we went on to ask about the sustainability of these partnerships between RCOs (Figure 14). But opinions differed. Some people believe that little is sustainable without money, and that unless new funding is available to continue this inter-regional collaboration, there will be few lasting results. Others are more sanguine, pointing out that this programme is not the only reason that such partnerships exist, and arguing that some of them would persist. Realists pointed out that perfect integration does not have to be the target, and that relationships and partnerships will ebb and flow with the circumstances. One of the strongest factors, of course, is the permutations of personalities that pertain from time to time.

*Just to know that someone in another region is working on a similar problem is a way to lower barriers.*

- Survey respondent

**Figure 13. Effectiveness of partnerships between RCOs**



**Figure 14. Sustainability of partnerships between RCOs**

## 4.2. Linkages and integration

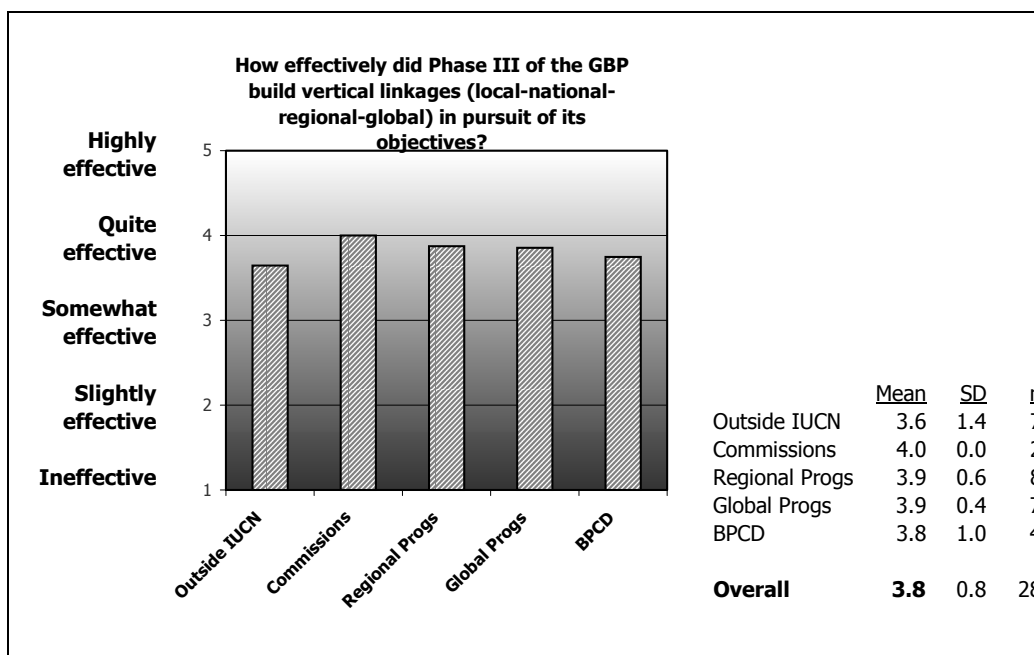
A related priority in this programme's approach – and supposedly a key strength of IUCN – is the linkage of local, national, regional and global concerns and action to conserve biodiversity. When we asked survey respondents how effectively Phase III of the GBP had built these linkages in pursuit of its two original objectives, the response was reasonably positive. Again, however, many people feel that much more work remains to be done in this regard. The partnerships with and between RCOs have strengthened IUCN's performance at that level, but there has been much less interaction with IUCN country offices (in those parts of the world where they exist). As usual in IUCN, links to the local level are even less adequate and more project-based, although good results are sometimes achieved. GBP-supported work on biodiversity assessment in southern Africa, for example, did link local assessment into national and higher frameworks. Again, some observers pointed out that IUCN's field presence is particularly weak in some areas of key global biodiversity concern, such as China and Indonesia.

*In Phase III, the RCOs are doing most of the work, which has helped to filter down the solutions developed at the global level, to be applied at the sub-regional level. More needs to be done to get tools applied at the national level. Much more needs to be done.*

*The value of the GBF has been very high – very useful in grounding policy issues at national level and linking national issues to global concerns.*

-Survey respondents

In the policy arena, there was praise for the linkages to the national level that have been achieved, for example through support to the formulation of NBSAPs. Another widely endorsed mechanism for vertical linkages is the GBF, although its integrating achievement goes far beyond IUCN itself. As we noted in section 4.1, there were a variety of policy-making partnerships within IUCN that stimulated the vertical integration of the Union.

**Figure 15. Effectiveness of vertical linkages**

### 4.3. Policy-science-practice links

Linking policy, science and practice is another area of congruence between the approach of the GBP and the character and aims of IUCN as a whole. As reported in section 3.3.2 above, the scientific quality of the programme's work is judged to be high. Overall, respondents felt that the programme had been quite effective in linking policy, science and practice. As ever, they pointed out that the link between policy and science is much easier to achieve than any link to practice. Some asked how realistically IUCN could expect to understand field realities and practice, given its weak field presence. The answer, in theory, is that its members provide the ground truthing. In many parts of the world where biodiversity concerns are most pressing, however, IUCN membership is thin. Two examples of work where people feel progress is being made are the ecosystem approach (GBP-funded 'Pathfinder Workshops' were instrumental in its development) and efforts to develop policy and procedures for tackling invasive species. Good support has been provided to NBSAPs, which ought to link policy and science to practice – if countries have the commitment and the capacity to implement the plans, which is certainly not always the case.

*In the areas we have worked in so far, we have mainly concentrated on policy actions – very little on practice. Still struggling with structures and actions on the ground. This is where we need to go now. Link between the thinking upstairs and the reality on the ground. People on the ground are still struggling on how to implement. A few countries (e.g. Namibia) have specific departments to implement their NBSAP, but these are very few.*

*Especially in the area of [forest] restoration where restoration is socially and environmentally sound, they are successful in proving that economic and social demands can be achieved through restoration. Concepts of biological corridors and landscape approach are being progressively and positively explored at field level.*

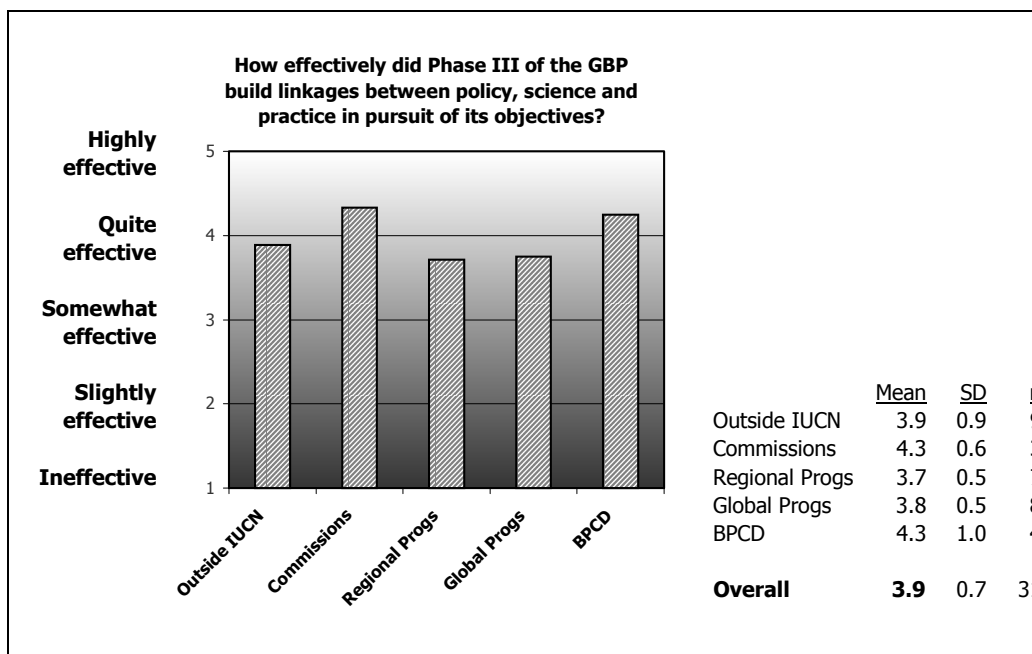
- Survey respondents

Another way in which IUCN should be able to strengthen its linkages to practice is through stronger working links with advocacy organisations. As we have pointed out, IUCN is sometimes restricted to rather unfocused positions in its policy work by the multiplicity of stakeholders to which it is accountable. Similarly, it is sometimes inappropriate for the Union as a whole to get as close to field action and advocacy as environmental organisations with narrower constituencies. Some of these organisations, of course, are IUCN members. This way of operationalising the policy-science-practice



link might reward more attention, although the practical difficulties have to be recognised. As a Union whose members include governments, IUCN has to maintain an appropriate distance from advocacy groups that take strident positions against some of those governments' policies. Some of the other agencies with which IUCN works face periodic budget and capacity problems that reduce their potential for a complementary role in what IUCN is trying to achieve.

**Figure 16. Effectiveness of policy-science-practice linkages**



#### 4.4. Funding projects and global policy work

Although this was not the intention, a clear dichotomy has emerged in the GBP's approach to the structure and funding of its work. It is tempting to say that this is a dichotomy between its support for projects, on the one hand, and global policy work on the other. This would be too simplistic, because many of the projects that have received funding (and are specified in Table 2 above) also deal with dimensions of global policy.

In any event, there is certainly a dichotomy. On the one hand, the GBP has looked like a small grants programme – albeit a participatory, co-financing one – which considered applications for funding from around the Union and selected activities to support, partly on the basis of the criteria quoted on page 1 above. Although reportedly not as micro-managed by the BPCD as they were in Phase II of the programme, these projects were nevertheless expected to provide convincing explanations of how they would achieve specified outputs that linked into the programme's (admittedly rather permissive) framework of objectives. The theory, indeed, was that Phase III was moving away from being a small grants operation to being a results-based programme. The theory, therefore, was that each project activity contributed its results to the broader framework of objectives. In practice, this part of the GBP remained a project-based way of working. We have already quoted the many difficulties that this caused for the kind of process work in which the recipients of this funding were typically engaged (section 3.2.3).

On the other hand, the programme funded the continuation and development of the global policy work that was undertaken by the BPCD in Gland. A significant part of the total budget was devoted to the headquarters staff costs associated with this effort. As a result, and with input also from some of the GBP's project-based activities, impressive progress was made in delivering IUCN support to global policy processes like the CBD, and to facilitating vertical linkages through the debates of the GBF

(section 3.3.1). This, quite rightly, was programmatic work. It was not devoid of structure or plan, but the GBP allowed the BPCD the resources and the flexibility to build it in the most productive directions, without such rigid timeframes or (Table 2 would suggest) budgetary restrictions.

Despite all the advantages and achievements of Phase III's approach with the multiple partners whom it helped to fund, the GBP has not adequately confronted this dichotomy or its implications. Given the nature of the problems they are tackling, IUCN and its partners need to work programmatically. Atomising the task into project-sized fragments is counter productive, especially when the budgets for these fragments appear to be unstable from year to year. Yet the programme was right to seek to work with multiple partners around the Union, and to require coherent and convincing planning and accounting from them.

What is the solution? The approach of multitasking with multiple partners is sound, but it needs to be framed programmatically rather than being compartmentalised into the bureaucracy of project and sub-project management. There will always be a tension between these objectives, as IUCN has realised all too well in trying to structure the work of the whole Union into the Intersessional Programme.

Phase III of the GBP would have been able to resolve this tension better if it had been able to achieve more budgetary stability for its component activities. Moreover, it could have adopted a more programmatic approach if it had focused on fewer themes. There is an irony in this. At the start of Phase III, the message to the BPCD was to be as participatory as possible in the planning of the programme. Towards the end, the message is that the participation went too far. A project-based approach to a multitude of programmatic intentions has achieved some good results, but has frustrated many of those involved – not least the administrators in Gland.

#### **4.5. Learning**

As a final word on the programme approach, it is regrettable that, based on its experience in the first two phases, Phase III of the GBP did not develop a programme design aimed both at key results and at learning. Focusing on the learning opportunities of the GBP would have required a very different programme design, i.e., determining hypotheses to be developed and explicit conceptual models of how they might work in light of the programme objectives, and then selecting a portfolio of projects to test these hypotheses. Obviously, creating a learning programme would also have required a proactive, rigorous, and effective M&E system, together with mechanisms for analysing and sharing data across the programme, and for communicating results and lessons learned both internally and externally. IUCN lost a golden opportunity it had during the design of Phase III to set up a learning programme as part of the GBP.

## **5. Institutional influences and effects**

### **5.1. Programme and project management**

Phase III of the GBP has not had a direct influence on the way in which IUCN as a whole manages its programme and projects. In terms of direct effects, the reverse has been more true. The design of Phase III was revised to take account of the Intersessional Programme after the latter had been finalised. Nevertheless, many parts of the Secretariat have been watching the approach and management of the GBP with great interest.

As we have shown, the challenges faced by the GBP are typical of those facing the Union as a whole as it tries to structure and rationalise its activities. The experience of the GBP in promoting and funding horizontal and vertical working partnerships within the Union has been particularly instructive to this broader audience. It encapsulates one of the broader challenges of IUCN: making the whole

more than the sum of its parts, and maximising the value that can be added by getting these often disparate parts to collaborate. There are clearly lessons to be learned, too, from the frustrations of the GBP and its partners in working with comparatively small-scale funding to large numbers of sub-projects. Again, the broader challenge is typical for IUCN as a whole: how to work programmatically while maintaining focus and accountability. We reported in Figure 6 (page 1) how our respondents answered with caution when we asked how much of a management model the GBP was for the rest of IUCN to follow. Most have been inspired by the participatory partnership principles of its approach, and would agree that these deserve to be followed more broadly in the Union. They have been warned by some of the practicalities of the approach, and will doubtless be trying to learn from these in their own programming.

## 5.2. IUCN policy making

The programme has had a direct impact on the way in which IUCN makes its own policies. The Secretariat has been able to learn from the GBP's experience in developing positions for IUCN to advocate in MEAs, in particular the CBD. Through this experience, the BPCD has developed policy

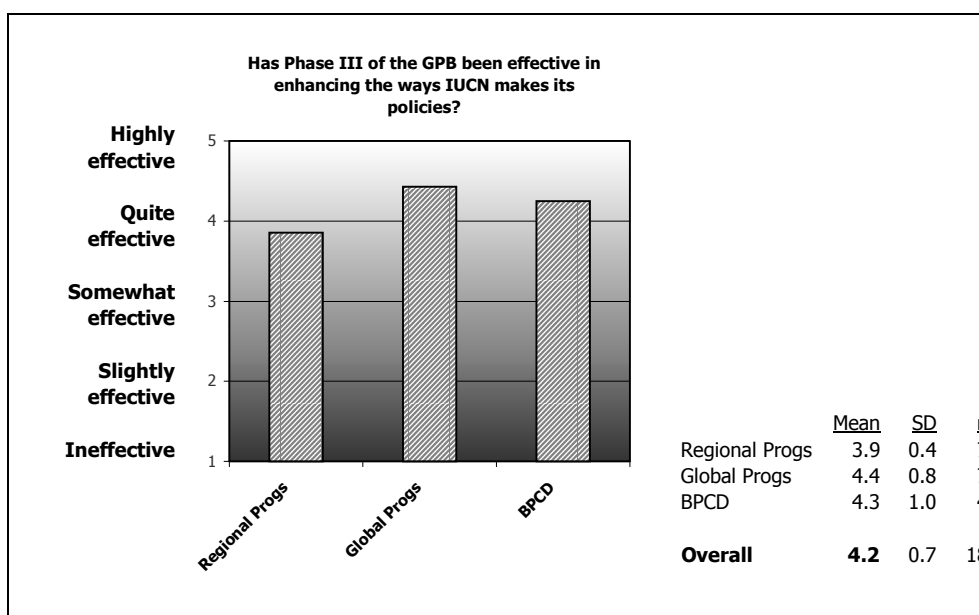
*It has certainly had an influence. The process that the BPCD did on policy statements was done diligently and involved other parts of the Union. Not possible though to say it's been effective – that would have to be tested. The experience has influenced how IUCN does its work in other forums.*

*It enhanced our ability in 2001 to participate in the Climate Change Convention, and to allow our regional and country offices to effectively participate in the process. It also helped us to deal with the policy issues vis a vis forest biodiversity and carbon sequestration.*

- Survey respondents

making procedures that are much more systematic, transparent and consultative than they used to be. Several of our respondents commented on the improvements in this regard during Phase III, and overall their verdict on the GBP's achievements was positive (Figure 17). Again, however, some observers believe that the price of this more systematic consensus may be less pointed policy positions that satisfy all of IUCN's many stakeholders. They argue that IUCN's policy processes need to link more systematically to the work of advocacy partners.

Figure 17. Enhancing IUCN policy making



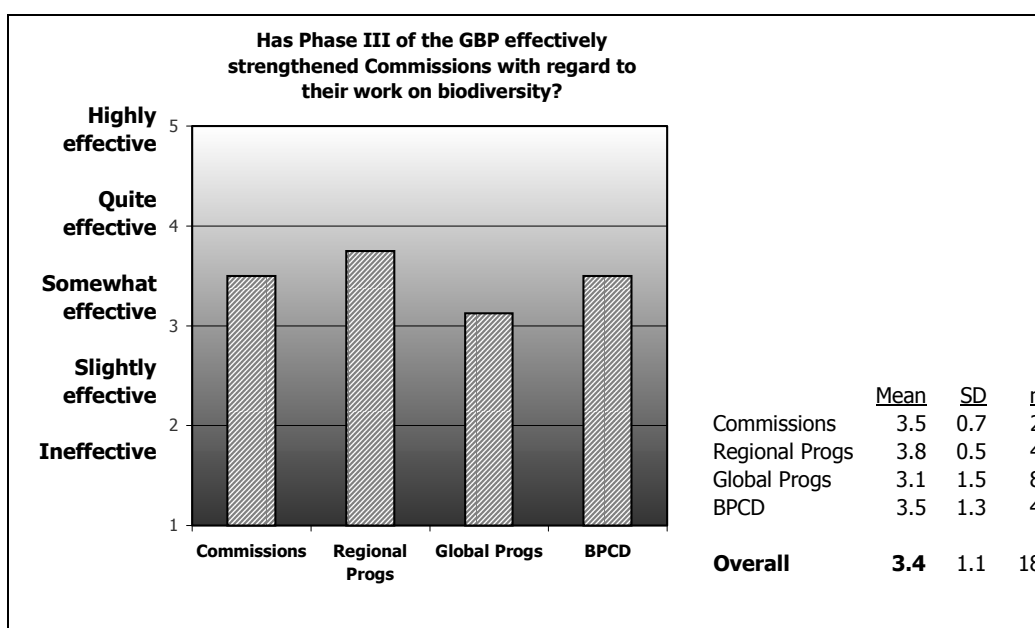
As a result of the policy making progress of the BPCD during Phase III of this programme, part of the BPCD was transferred at the start of 2002 into a new Policy, Biodiversity and International Agreements Unit. This unit is intended to coordinate the Union's work with cross-sectoral agreements such as the CBD and the UNFCCC; with sustainable development processes, and agreements influencing them, such as trade; and with processes affecting indigenous peoples. It is also mandated to improve the coherence and effectiveness of IUCN policy making through the development and implementation of a conservation policy system. It remains to be seen whether the new unit will be able to cope with this enormous workload.

One area where the institutional effects do not seem to have been as strong as they might have been is IUCN's preparations for the World Summit on Sustainable Development. As this review was taking place, these preparations were reportedly in some disarray and were being urgently revised to ensure that the Union achieves coherent positions and performance in Johannesburg. IUCN's impressive policy making experience through the GBP does not seem to have been put to best use in this case.

### 5.3. Strengthening the Union

The emphasis in this programme's approach on partnerships and linkages should have strengthened the various parts of the Union that took part. We asked our IUCN Commission and Secretariat respondents how far they thought this has been achieved for Commissions, RCOs and global thematic programmes. They gave a very similar response for each. The programme has been somewhat effective in strengthening these various types of partner.

**Figure 18. Strengthening Commissions**



The GBP's interaction with and strengthening of the Commissions has varied with the strength and interests of each of these six bodies. In general, this interaction gives Commissions the opportunity to be more operational, and to link their science with practice. The largest and strongest of them, the Species Survival Commission (SSC), has worked with various aspects of the GBP. The CEM has historically been a much smaller Commission, but its interaction with the GBP and the CBD over the ecosystem approach has been empowering for it, and has become the core around which the CEM is currently being strengthened. Recently, the World Commission on Protected Areas (WCPA) has not worked closely with the GBP, although it was very active at the CBD COP4 in Bratislava. But contacts have been intensifying as the Commission prepares for the next World Parks Congress and for COP7 of the CBD, which (following decisions at Bratislava) will deal with protected areas. The

Commission on Education and Communication (CEC) has also been strengthening its links with the GBP and the CBD. There is less to report with regard to the Commission on Environmental Law and the Commission on Environmental, Economic and Social Policy, although there was some interaction with the former in the field of access and benefit sharing.

The response with regard to the programme's strengthening of RCOs conceals considerable variation, both in opinions and in the ways in which the programme influenced different RCOs (Figure 19, page 1). A number of RCOs made significant contributions to the GBP's policy work, in collaboration with the BPCD. It is not surprising that a strong RCO like Asia should have benefited considerably from its work with Phase III of the GBP. What is more interesting is whether less well resourced RCOs managed to benefit. Here the picture is mixed. The East Africa RCO did benefit considerably. Perhaps reflecting ongoing operational difficulties, SUR (South America) managed to participate very little in Phase III and does not report significant benefits. It was more active in Phase II. BRAO (West Africa) had also participated in Phase II of the programme, but planning and communication problems appear to have prevented it from receiving funding for any activities during Phase III. ORMA (Central America) had the reverse experience, having only started work with the programme in Phase III. It reports some benefits from the interaction. Where there have been benefits at RCO level, the key question now is whether they can be sustained (section 4.1). As Phase III of this programme comes to an end, it remains to be seen what new funding mechanisms will be available to strengthen RCOs' operations and collaboration.

With regard to global thematic programmes, too, the GBP's beneficial impact has been patchy, and our respondents' views were guarded (Figure 20 below). In many cases, the funding that the GBP could offer was too small to be very helpful to the global programmes, although some did participate usefully – for example, the Species Programme and its wild meat initiative. Perhaps because it finds the CBD less relevant to its sector and works more with Conventions like Ramsar, the Wetlands Programme has not worked much with the GBP, although it has participated enthusiastically in some GBFs. The involvement of the Forest Conservation Programme (FCP) with the GBP has been complicated by the difficult relationship between the CBD and the United Nations Forest Forum (UNFF). Ideally, IUCN should be working with both, but the CBD has not engaged adequately with forest issues, and IUCN certainly cannot endorse all the positions of the UNFF. The GBP has therefore had limited direct interaction with the FCP. But the FCP has made inputs into the forest restoration work that the programme has funded in Latin America, and has produced policy papers for recent CBD meetings. The involvement of the Protected Areas Programme is closely linked to that of the WCPA (see above), and is growing now as COP7 of the CBD and the World Parks Congress approach.

*Over the last four years, the main success of CEM has been the Ecosystem Approach. Now they're being called to move beyond theory to practice, which strengthens CEM. Using these successes to build their membership. IUCN members and programmes are being asked to advise on Ecosystem Approach. They feel relevant, stronger as a result.*

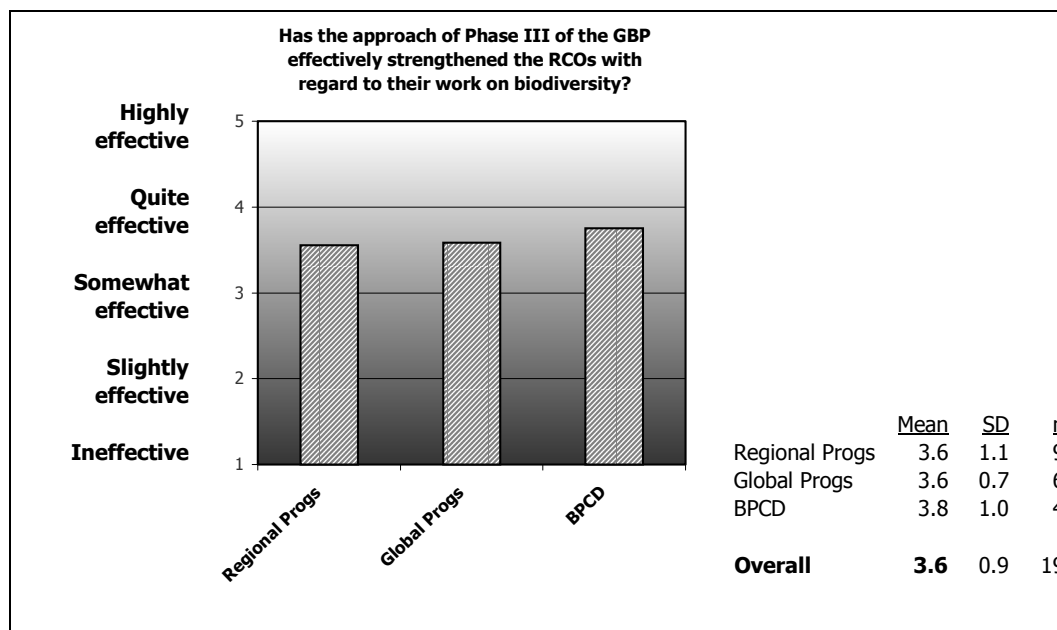
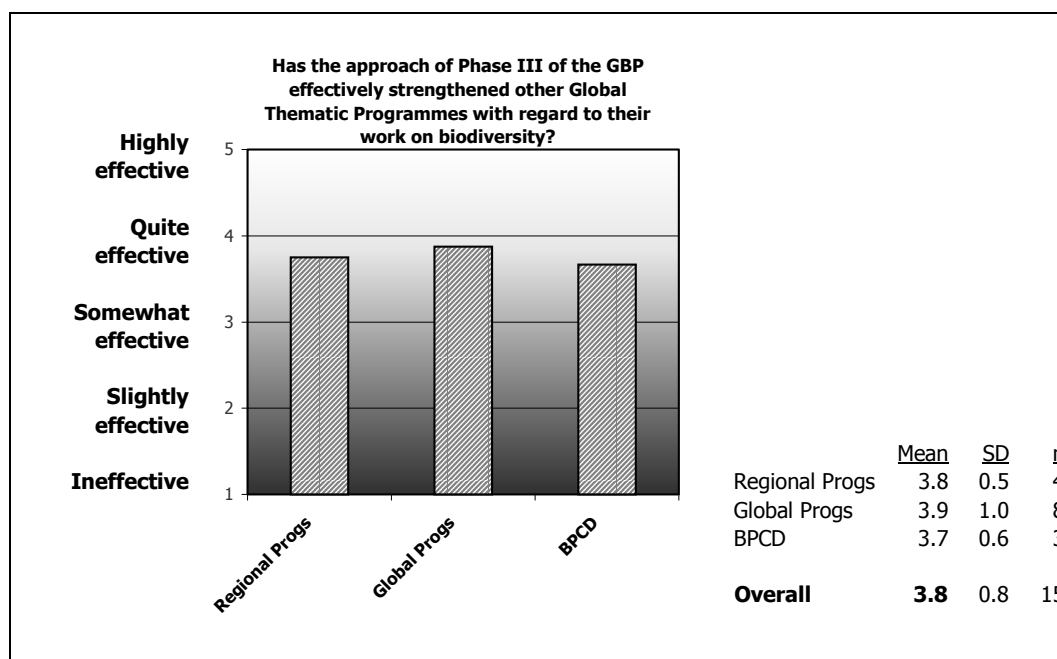
*Highly effective from the perspective of the Sustainable Use Initiative.*

*The GBP gives the SSC a link to the very broad range of topics that the CBD represents. The GBP has provided a linking mechanism for the Commissions, especially to the CBD. It is providing horizontal integration to a broad range of CBD topics. The GBP could do more with other MEAs, e.g. Ramsar, Migratory Species, IWC, CITES.*

- Survey respondents

*Quite effective in strengthening RCOs, but I would have liked to see more cross-regional exchange. Need a strong centre, not necessarily big, but a mechanism that would allow the distillation of information from each region. That final process, of coordinating all the projects, did not happen. For example, there could have been a publication on all the work done on economics and biodiversity using examples from SE Asia, Central America, East Africa, etc... Yes, it would require resources, but not to do it is a waste of resources.*

- Survey respondent

**Figure 19. Strengthening RCOs****Figure 20. Strengthening Global Programmes**

#### 5.4. Integration of the Union

Linked to the issue of strengthening various parts of the Union (section 5.3) and promoting partnerships between them (section 4.1) is the broader question of whether Phase III of the GBP has helped to promote the overall integration of the Union. In section 4.2 we asked whether the programme had helped to build vertical linkages between the local, national, regional and global levels

of action on biodiversity. Here, we consider the internal, institutional question of how much IUCN itself has been integrated by this experience.

We have considered two aspects of this question with the IUCN staff who responded to our questionnaire. An essential preliminary is whether an appropriate balance of resources has been struck between headquarters and the regions. If there is dissatisfaction over that, then a satisfactory working integration of the Union is hardly likely. The answers to the question, in Figure 21 below, are in one sense quite predictable. RCOs are least satisfied with the way the funds were allocated, and the BPCD at headquarters is most satisfied. It is perhaps telling that the only 'project' to be overspent with respect to its budget is the BPCD staff costs. Indeed a comparison of the original project budgets, their actual budgets, and their expenditures to date (Table 2) shows that many projects have been drastically cut back since their initial budget allocations.

*We may need to revisit how much money would be enough to adequately support the regions' biodiversity work. How to identify priorities in terms of themes in regions or Commissions? Otherwise the programme is spread too thin, and expecting to raise counterpart funding is not realistic.*

*The GBP has been strongly oriented towards the regions, which is good. The global programmes did not need as much.*

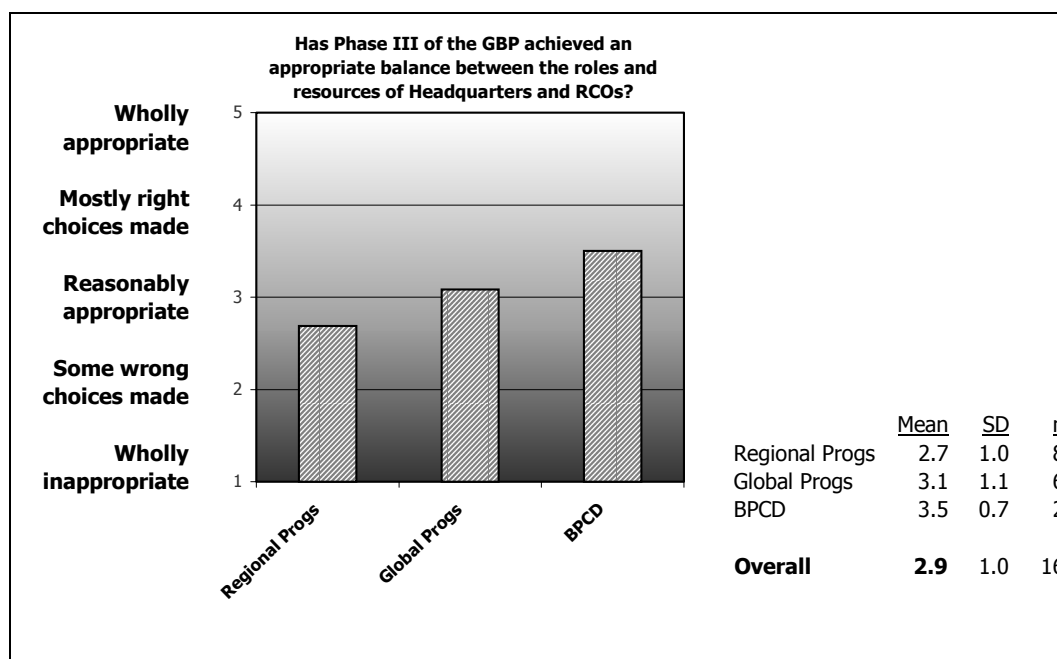
*Too many organisations regionalise too much. A good balance is being achieved by IUCN now. Good people in the regions and good central core (have seen bad regionalisation in some other organisations). HQ money tends to look like 'keeping staff'. But this programme needs international/global level work too.*

- Survey respondents

Figure 1 on page 1 shows the estimated proportion of total expenditure for work in each KRA that was used for BPCD staff costs. Of course, part of these high central costs was dedicated to the heavy administrative burdens imposed by the fragmented, project-based system of support for regional activities. If a more focused and programmatic approach had been applied in the GBP, there would have been more resources available for distribution to the regions and satisfaction with the balance might have been stronger.

The consensus, at least in Gland, is that Phase III of the GBP carried regionalisation far enough, and that it would be a mistake to reduce the role and the budget of headquarters any further. Furthermore, the question remains how apparently 'core functions' that up to now have been funded by the GBP – such as IUCN's interaction with the CBD – will be funded after the GBP has ended.

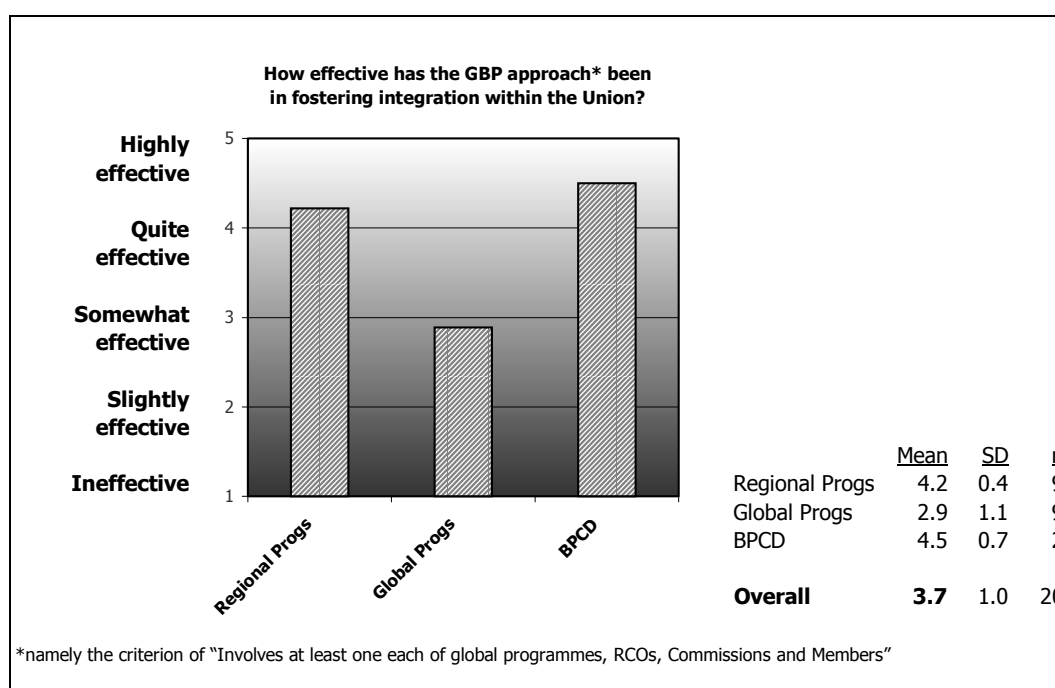
**Figure 21. Balance of resources**



IUCN staff's replies to our broader question, about how effectively the GBP approach of requiring partnerships had fostered the integration of the Union, probably reflect the distribution of involvement between regional and global programmes, with BPCD staff predictably most satisfied with what was achieved (Figure 22). The consensus is that the principle of requiring these partnerships is an excellent one, and that it has done much to promote the integration of IUCN. The composition and performance of the IUCN team at the recent CBD COP6 bears testimony to this, with most of the Union's representatives at the meeting coming from RCOs.

The problem, again, has been the fragmentation of the support. This has meant that the overhead costs of the process have been unreasonably high; some potential participants, especially global programmes, have not found it worthwhile to take part; and even many of those who were involved are dissatisfied with what they received. A funding mechanism like this could be expected to have some success in fostering integration among those parts of IUCN that found it worthwhile to try out some involvement. The bigger question is how lasting or ephemeral this integration turns out to be. We predict that the principle will prove to be durable, and that people in many parts of IUCN will try to apply it again.

**Figure 22. Fostering integration within the Union**



## 5.5. Integration of 'biodiversity' and of socio-economic concerns in IUCN's work

Shifting from the institutional aspects of this programme to the substantive content of IUCN's work, we considered it important to learn what influence the GBP has had on two fundamental characteristics of that work. How far has 'biodiversity' been mainstreamed into what IUCN does, and how far are socio-economic concerns integral to the Union's activities? While it is difficult to attribute any such changes specifically to the GBP, and still less to Phase III of the programme, integration of these two related themes has certainly been

*For the purposes of this Convention:*

*"Biological diversity" means the variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part; this includes diversity within species, between species and of ecosystems.*

- Convention on Biological Diversity, Article 2

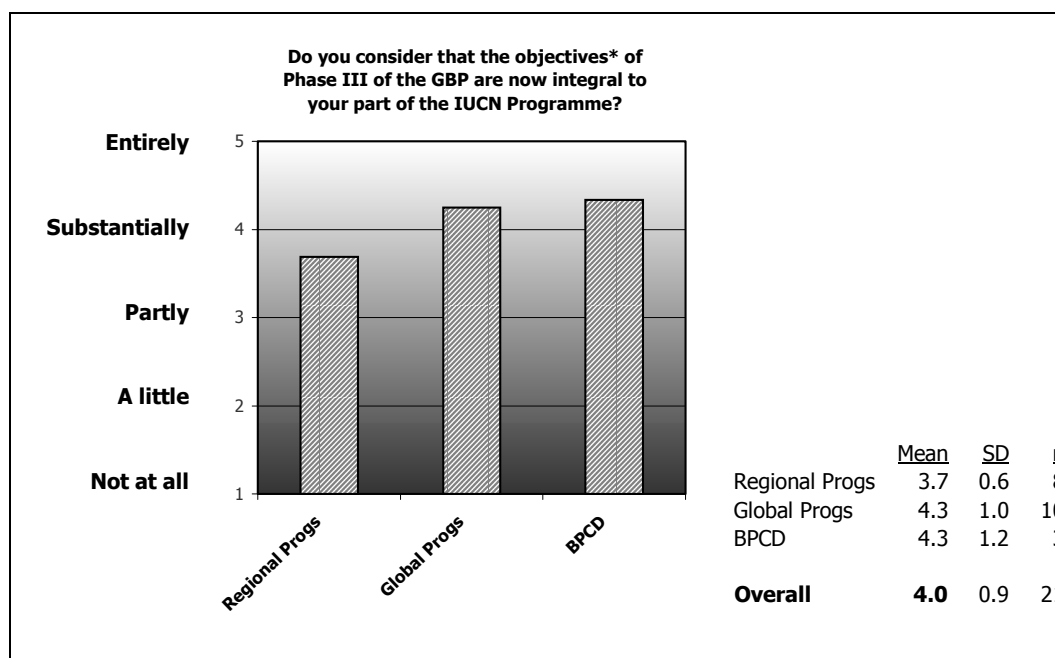
*Biodiversity, as a quantitative measure of variability among and within species, has evolved into an approach that addresses the social, economic, and institutional factors that affect the ability of ecosystems on which human production and consumption depends to continue to function.*

- GBP Phase III project document



an objective of the BPCD and of SDC support for it. In raising the issue, it was hard to know how to define 'biodiversity', as the concept has grown so broad and there are so many different definitions of it now in circulation. Like gender, the concept has evolved (see box above). We ended up asking whether the two original objectives of Phase III are now integral to the part of the IUCN Programme in which the respondent works.

**Figure 23. Integrating 'biodiversity' into the Union**



The responses are not surprising. In many ways, biodiversity is plainly mainstreamed throughout the work of the Union, as can be seen from the current Intersessional Programme. Indeed, the logic of disbanding the BPCD is meant to imply that its job has been done, and that biodiversity is now the mandate of everyone in the organisation. It is also not surprising that the degree of integration is uneven, and in some regions the depth of commitment to socio-economic concerns in the biodiversity paradigm is still viewed sceptically (see box).

Given the strong socio-economic content of the biodiversity concept, it is not surprising that we should have had a very similar response when we asked whether addressing socio-economic concerns was now integral to IUCN staff respondents' part of the Union's Programme. Nevertheless, some concern was raised about the way in which current programme

*GBP was successful in putting the elements out there, but fell short on going the full length.*

*In West Africa, CBD is seen as less important than CCD and attention to biodiversity issues is less important than poverty alleviation. Decision makers have not been totally convinced yet of the close links between poverty alleviation and biodiversity conservation. In general biodiversity has been mainstreamed into the overall IUCN Programme. This is a big achievement of the GBP. The spirit of the CBD is everywhere in our work.*

- Survey respondents

*Some issues are being addressed, like access and benefit sharing. Issues like gender need to be addressed in detail.*

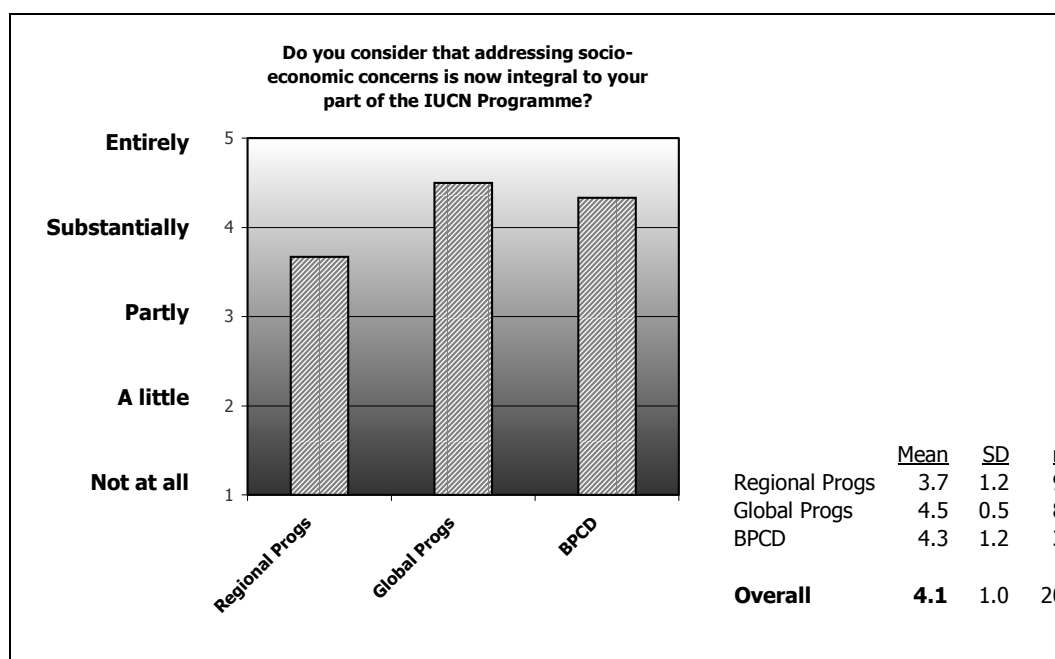
*Especially in [forest] restoration work they are integrated. Despite limited funds, they have to do this. Sustainable livelihoods approach has to be adopted.*

*Real efforts remain to be made by IUCN to integrate economic tools in the system. Social aspects are much better covered in our part of the world than economic affairs. We work a lot at the local and national level, but as long as we cannot put a dollar value on what we have achieved, we always lag behind the decision-making. IUCN needs to develop real economic tools to demonstrate the value of biodiversity. Need to build capacity at the regional level and at the global level to do this.*

- Survey respondents

structure is perceived to segregate social issues from economics work. Some respondents pointed particularly to the need to do more on the economics of biodiversity conservation, while others believe that IUCN has to deliver in the field of livelihoods and poverty if its biodiversity message is to be adopted. At the global level, some years of experiments with different ways to structure Secretariat capacity in socio-economics have not yet produced a satisfactory outcome, and a new configuration has recently been launched. Conceptually, we can conclude that socio-economic concerns are now central to IUCN's approach. In practice, there is much more to be done. IUCN clearly has not become a development organisation, and some respondents confirmed that this was not appropriate or necessary. But while headquarters grapples with the best way to access and deliver global expertise in this field, IUCN at the regional and national levels still struggles to integrate socio-economic concerns into the attitudes and approaches of its partners.

**Figure 24. Integrating socio-economic concerns into the Union**



## 5.6. Links with multilateral environmental agreements

The GBP has provided the interface between IUCN and the CBD, which is one of the most important MEAs for the Union. Given the context of many of our interviews at the CBD COP6 in The Hague, our respondents had plenty to say about the relationship between IUCN and this Convention. While

*CBD is worth all the effort for IUCN. It is starting to play the role that UNEP might have. Some dividends already for IUCN, e.g. mentions in CBD decisions as a source of expertise; recognition of the GBF...*

*CBD is a complete talkfest. Highly imperfect. But it is the global institution that influences countries on how they conserve biodiversity. A very important and necessary evil. One would hope that IUCN's influence would get it to do more. IUCN must remain part of the CBD. Possibly the only way at the global level. Also important at the national and regional levels. IUCN has had a major, major influence on CBD processes.*

*IUCN needs to recognise that within the CBD framework (and other conventions) there will be a time of learning, then a time of mainstreaming, and then a time of implementation. There will be some overlap. Will go at different speeds for different countries. An important forum.*

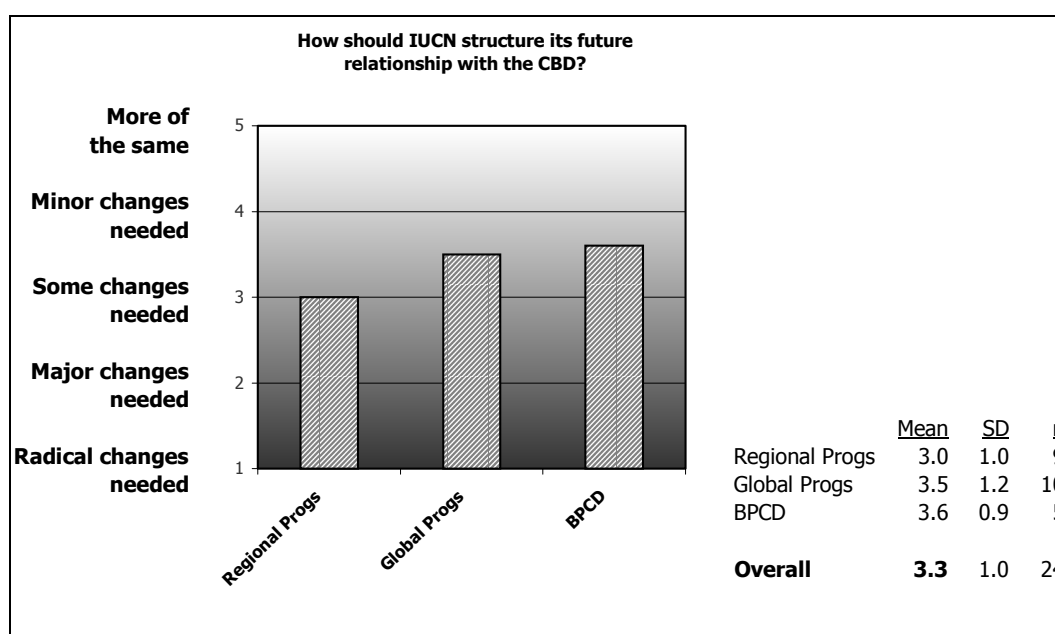
*The project has strengthened our hand in the CBD. IUCN and other NGOs provide an enormous amount of analysis of conservation processes, without which the Convention would not even move ahead... The Convention gets good value for money, and this project has helped us see that. But the risk is to create a whole industry around the CBD... The IUCN delegation is often not that well focused. We operate in an individual rather than a corporate way.*

- Survey respondents

mostly full of praise for what the GBP has achieved for and through the CBD, few felt that the relationship should stay as it is (Figure 25). One basic comment was that IUCN obviously needs to negotiate the formal status of an intergovernmental agency at the CBD, rather than being excluded from some COP activities because it is considered an NGO. Another obvious point was that, as the work of the CBD evolves, the role and inputs of IUCN will have to evolve accordingly. While many responses endorsed the generally discreet profile that IUCN maintains at CBD COPs, some found it too timid and low key, urging IUCN to be more proactive and to work as a more coordinated team. Although we witnessed efforts at COP6 to bring the numerous IUCN staff together as a team, it was clear that more could be done in that direction.

While the CBD COP preparatory work that the GBP has helped IUCN to do with many national governments is widely praised, there are also many complaints that more time and resources are not allocated to these processes. These constraints have been largely outside the BPCD's control. Preparatory work cannot be done before the CBD Secretariat has confirmed the issues that a COP is to deal with; and the budget for the often costly processes of preparatory workshops and translations has always been limited.

**Figure 25. IUCN's relations with the CBD**



While the IUCN has exerted considerable influence at the CBD, the time is now ripe for a more thorough appraisal of what it should and can do with this Convention in the future. The costs of IUCN involvement with the CBD are high, and will have to be funded from a different source after termination of the GBP. It would be wise now to consider a more strategic and focused approach to the CBD,

*CBD is a marginalised convention, inward-looking and process-oriented. If we want to spend our members' money as usefully as possible, should we invest so much in the CBD, which is not having an impact outside itself? UNFCCC may be much more relevant for biodiversity. Or trade. This is a big question for the biodiversity community.*

*CBD is a very important convention, and we should support it, but the amount of time we put in is out of balance with other fora where we could get more results, e.g. UNFCCC. CBD has not yet delivered anything itself as a convention. If we had only half the capacity of CBD for climate change and trade, we would be miles ahead of where we are now. SDC funds have helped greatly to influence CBD, but... this is not where the real political battles are. Not where economic trade-offs are debated – the things that really matter. IUCN has a cosy niche with the CBD. Nobody bothers us. Other fora are much more difficult – the big leagues.*

- Survey respondents

particularly since – as the mandate of the new PBIA Unit shows - there is a growing awareness in IUCN of the large number of other MEAs with which it would be productive to work.

As we have noted, a reappraisal of IUCN's relationship with the CBD needs to be grounded in an assessment of its links with the growing number of other MEAs that relate to the Union's vision. There is a common view that, even though the CBD may be a 'necessary evil', it is not a very effective one for achieving change on the ground, either in biodiversity conservation or in livelihoods. Perhaps part of IUCN's future role should be facilitating interactions between CBD and the other Conventions, and intensified efforts to help governments and societies to understand, contribute to and use this wider range of MEAs. Ramsar, the UNFCCC, CITES and the Convention on Combating Desertification were among the other agreements that our respondents mentioned, in addition to strengthening work on the WTO. Of course, the Union already works actively with many of these. A starting principle in any reappraisal of how IUCN works with all these Conventions should be to achieve an appropriate balance and integration of the conservation and sustainable development imperatives.

A tricky set of tradeoffs will obviously be required as IUCN reappraises its involvement with the CBD and other MEAs. The opportunities are many, and the resources always limited. While the CBD can be dismissed as a talkfest or a cosy niche for IUCN (see boxes), it is also an overarching Convention with the space for all kinds of new issues to be piloted and eventually taken seriously by most of the world's governments. IUCN is good at this kind of pioneering, and has used the CBD well for the purpose. The baby should certainly not be thrown out with the bath water.

## **6. Conclusions and recommendations**

### **6.1. Overview**

Phase III of the GBP has built on the important achievements of the two previous phases. Its work is judged to have been largely relevant to biodiversity concerns as IUCN and its partners perceive them. Project design and redesign, coupled with poor monitoring and reporting, have made it hard to assess performance against objectives. But we conclude that Phase III as a whole has been fairly effective in contributing to the overall intentions of IUCN with regard to biodiversity. The policy utility of the programme's work has been high. Conceptual, methodological and capacity advances have been achieved in a range of areas, notably biodiversity assessment, the ecosystem approach, and invasive alien species.

We have identified a dichotomy between the appropriately programmatic policy work driven from headquarters by the BPCD, and the excessively fragmented work in a wide range of fields (often with important policy dimensions) undertaken on a project basis by various programme partners through a series of grants. Whereas the BPCD had a fairly good strategic vision of what it was trying to achieve at the programmatic level in its CBD and other policy work, it was often difficult to see the wood for the trees when it came to the project-based part of the effort. This part of the programme lacked focus and direction. It was laudably participatory in its planning, but its communications, monitoring and reporting were all smothered by the heavy bureaucratic burden on an overloaded coordinator in the BPCD.

It might be more accurate to identify three parts to this programme, not two. There was a strategic vision of a different kind at work, led from within the BPCD by the Chief Scientist as he continued his long tradition of pioneering new issues and approaches. Important achievements continued as the BPCD worked with various partners to develop these new ideas, such as the relations between agriculture and biodiversity. Sometimes these fresh themes were explored through the GBF and introduced to the CBD. But this kind of strategic vision and leadership did not extend to the GBP as a

whole. Although we do not doubt that senior BPCD personnel had a clear view of the evolving issues and priorities, this did not translate into effective focus and direction for the programme.

IUCN considers, and we largely agree, that biodiversity has been effectively mainstreamed into its operations. This is one of the reasons why the BPCD was disbanded at the end of 2001. Largely for reasons outside the scope of this review, it has already been agreed that SDC will not fund a fourth phase of the GBP. Its future support for IUCN will take a different shape. In these circumstances, what sort of conclusions and recommendations is it most useful for us to make from this review?

We suggest that it may be helpful for us to sort the elements and ideas in the experience of GBP Phase III into four categories. We can identify aspects of this experience that should be maintained, developed and promoted. We can identify things that should be done differently if IUCN engages in similar programmes – for example, if it builds a new programme thrust around a different concern, such as poverty alleviation. We can also propose issues and approaches that need particular emphasis in such future work. Finally, we identify the need to assess the new programmatic options that may help to carry the achievements of the GBP and the BPCD forward. Throughout this review, we have found that the experience and challenges of the GBP are similar to those of IUCN as a whole. These conclusions and recommendations may also have a broader resonance for the organisation.

## **6.2. Maintain, promote, develop**

The programme has made important progress in promoting partnerships between RCOs, Commissions and global programmes. There is much more potential to be unlocked by building more such partnerships, although the logistics and cost of doing so can sometimes be daunting. Partnerships between RCOs are particularly valuable, as a way of countering the perceived northern bias of the IUCN Secretariat and of reinforcing IUCN's ability to act closer to some of the areas of greatest concern for biodiversity conservation and sustainable development.

The GBP has also recorded progress in promoting the vertical integration of the Union. Again, there is much more to be done, particularly in linking to work at national and local levels – exploiting, where they exist, the resources and commitment of IUCN country offices.

In its efforts towards decentralisation, IUCN should continue to seek that delicate balance between empowerment, delegation and direction. Although top-down approaches are seen to be politically incorrect, IUCN – like any decentralised organisation – needs a good balance between the top-down and the bottom-up.

This programme has been instrumental in substantial improvements to the way in which IUCN makes its own policy, in biodiversity and other fields. These achievements should be continued and developed, as part of an evolving strategy for IUCN's interactions with the increasing number of MEAs that are pertinent to its vision (section 6.3).

One of the most prominent achievements of the GBP has been IUCN's role and reputation in the CBD. Recognising that the framework of relevant MEAs is changing, IUCN should continue its support for the work of the CBD, taking care that its investment is focused and strategic. In particular, it should maintain and enhance the advocacy and advisory services that it offers to governments in this regard.

IUCN could enhance the effectiveness of its advocacy work by evolving its relationships with other conservation organisations, such as WWF, Greenpeace and BirdLife. However, such relationships must always allow for the particular character of IUCN's membership and constituencies, and will to some extent remain vulnerable to the changing capacities and priorities of these other organisations. Though not without risks, developing joint advocacy strategies and lobbying work plans with a range of such organisations could provide benefits to all involved, and contribute to achieving IUCN's advocacy objectives.

The GBF has been widely praised. Although GBP funding for IUCN secretariat services to the GBF will now come to an end, IUCN should maintain and develop its support for this important consultative mechanism. But it should not allow the GBF to become stale, or its administrative burden to become overwhelming, by attempting to support more than three GBFs each year.

### 6.3. Do differently

Despite the value of the partnerships and integration that the GBP promoted, it is clear that its approach to the budgetary management of multiple comparatively small projects should not be replicated. At the administrative level, it is important to ensure that the same financial tools are used by project managers and finance staff, and that reporting and approval requirements are clearly communicated, are understood by all, and are implemented on time. A better financial reporting system is needed to help project managers to assess progress, and to stay on the same wavelength as finance staff.

If new circumstances arise in which programme funding is available for distribution to multiple component activities and partners, a more strategic and programmatic approach should be adopted that acknowledges the process nature of the work IUCN does. Ways must be found to fund process rather than activities, and to reconcile the imperatives of clear planning, monitoring and accounting with those of programmatic uncertainty and flexibility. The key to this, as we have argued, is to identify a smaller set of priorities, and to focus on them consistently. (Restricted) framework funding agreements with donors should find ways to avoid the budgetary instability that some GBP Phase III activities experienced from year to year.

*Just a good planning phase is not enough to guarantee delivery of a programme. Not enough to look just at administrative elements (money transferred, reports submitted, etc. – the mechanical part). The responsibilities for coordination, the networking and the distillation of lessons learned need to be there from day 1. That will help. A good M&E process throughout the length of the project. Also needed a communications process/strategy. M&E should not just be something that happens at the end.*

- Survey respondent

This programmatic approach focused on priorities should avoid the fragmentation we have seen in the present project, and monitoring systems and project reporting should reflect this. Project reports, rather than drowning in detail, should focus more on the big picture and overall progress towards strategic objectives. Once information on progress (and difficulties) is synthesised, it should be communicated regularly (annually or semi-annually) to partners within the project, as well as to donors, and made available to interested parties (for example via IUCN's web site).

In addition, as we have argued in section 4.5, IUCN would benefit greatly from an approach to programming that explicitly fosters learning. An action research type of approach would enhance the net impact of IUCN's programmes beyond the achievement of their specific results and objectives by systematically learning from both successes and failures about what works, what does not work, and why. This will mean re-thinking programme structures to emphasise learning, designing robust M&E systems, and putting in place effective mechanisms for internal communications and sharing.

While the principle of using GBP funding as seed money was a good one, the requirement that all the activities supported by a programme like this should be co-financed has proved to be unreasonably restrictive, leading to frustration and perceived under-performance in some cases. In any similar future scenarios, co-financing should be encouraged, but not required.

As a vehicle for participatory planning in the Union, the BPM was better in theory than it turned out in practice. Although the principles of this approach are appropriate, the BPMs failed to achieve the appropriate balance between participation and direction. They were expensive, and they raised expectations that could not always be fulfilled. If the BPM model were to be replicated, it would be essential to ensure that participants and convenors have a shared understanding of its purpose, and to

maintain communications after or between BPMs so that the quality of participatory management implicit in the model is assured.

Although IUCN has high credibility in the CBD and has achieved much in that arena, there may be other MEAs in which it can work more effectively, particularly as it strives to convert words to action. It is no longer justifiable to skew its effort so much in favour of the CBD. IUCN will never have the resources to do everything it needs to do with all the MEAs that it ought to work with. It will need to determine a strategic, prioritised approach to the array of MEAs and related bodies like the World Trade Organisation, and then apply some of the approaches that it has pioneered so successfully with the CBD. The new PBIA Unit has a challenging mandate in this regard.

#### 6.4. Emphasise

Whatever the specific field of endeavour, IUCN likes to see itself as a learning organisation, with a particular emphasis on knowledge management. This implies that it should apply a learning approach to major, innovative programmes like the GBP that are trying to explore new paradigms and develop new skills and insights for the organisation and its partners. This requires the kind of conceptual leadership, programme design, monitoring awareness and programmatic direction that were lacking in Phase III of the GBP. Ongoing analysis and communication of programme experience is vital in such a learning approach. It goes without saying that monitoring and evaluation needs much stronger emphasis in IUCN programmes than it has received in Phase III of the GBP.

*The policy work of IUCN and other international organisations such as WWF, WRI and others is contributing immensely to shaping the biodiversity policy decisions and actions at various levels. It is important to continue engaging governments and other players in open dialogue, for example through the GBF, and following it up with practical support in the field. It is not good enough to generate excellent policy decisions which can not be implemented at the national level due to lack of technical, financial or other forms of support. We've got to link policy with practical action. IUCN, through its regional network, has attempted to do that, but more needs to be done. There are now over 200 [CBD] COP decisions. There are volumes of decisions that are not implemented. The challenge now is to get these decisions implemented. IUCN should help with this: how practically it could be done at the national level... Helping governments to define what could be done practically: simple, practical things. IUCN should provide options. Sometimes no action is taken because government officials have no time to even think about them. The emphasis now should be on action.*

- Survey respondent

All these requirements mean in turn that coherence and focus need to be emphasised in any future ventures analogous to the GBP. This is never easy in the wide world of IUCN, where the issues and demands are so many and pressing. But without this coherence and focus, of course, a programme will simply spin its wheels.

If anything, the last area of emphasis that we have identified is harder still to achieve. It concerns the practice part of the policy-science-practice linkage that IUCN tries to achieve and that the GBP, with some success, aimed to promote. Despite the importance of the CBD and the undoubted achievements of the GBP in that arena, we sensed an increasing concern among our survey respondents and beyond that implementation now needs more emphasis than formulation (see box). This can never be easy for IUCN, which as an organisation is more of a facilitator and an advocate than a practical actor. One of the constant general challenges for the Union, of course, is for the Secretariat and the Commissions to interface more effectively with its members in this regard. We can only predict that it will be increasingly important during this decade for IUCN to develop and emphasise the links between its scientific and policy work and practical action to conserve biodiversity and achieve sustainable development

## **6.5. Innovations**

IUCN has been through much innovation in the last three years, as it developed its Intersessional Programme and made the necessary structural adjustments. It is not our role to make detailed recommendations for further change. But, however mainstreamed the concept may now be in IUCN, the GBP has not been the end of the story of the Union's action with regard to biodiversity. A new framework or structure may be needed to carry the achievements forward. It will be important for IUCN to consider the programmatic options, and to decide what the optimal configuration of roles for Commissions and global programmes will be for this purpose. For example, what is the best way to add value with the ecosystem approach? What are the best stance and strategy with regard to the CBD and other MEAs over the years to come? How best can IUCN act on the links between the natural environment and socio-economic processes that are central to the biodiversity approach it has promoted?

We assume that these and many related questions will be addressed in ongoing strategic review and structural innovation that build on the approaches, lessons and achievements of the GBP.



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

### **Background**

The emergence of the concepts of “biodiversity” and sustainable development in the 1980’s challenged the paradigm that environmental degradation was of marginal concern to the development agenda and that its cause and solution a purely biological matter by pointing to the fundamental inter-dependence of ecological, social and economic factors to ensure development locally and nationally.

IUCN substantially contributed to the development of these concepts. In 1989 the IUCN Biodiversity Programme (renamed in 1996 to the Biodiversity Policy Coordination Division) was created to lead and coordinate IUCN’s input into the preparation of the Global Biodiversity Strategy and Convention on Biological Diversity, and to promote the concept of biodiversity. IUCN’s approach to effectively address biodiversity institutionally and globally consists of four main axes:

- the need to address the underlying causes of biodiversity loss, such as lack of knowledge and capacity, inappropriate economic policies, insufficient financial support, inadequate national planning processes, and ineffective projects
- the need to establish linkages and feedback between the local level where biodiversity is maintained and the global level where policies impacting on biodiversity are formed;
- the need for partnerships both within the Union and with other relevant institutions and sectors and
- the need for capacity-building and awareness raising at all levels to effectively engage in concrete biodiversity action, particularly policy development.

In 1993, SDC agreed to invest in IUCN approach and has since provided some CHF10 million through three phases of the Global Biodiversity and Economic Programme. Phase I (1993-1996) concentrated on establishing global-level capacity and IUCN technical leadership and presence in biodiversity processes, notably the Convention on Biological Diversity (CBD). Phase II (1997-1999) aimed to develop regional biodiversity activities that provided a link between global and local levels, and between policy, science and practice. Phase III (2000-2002) focused on regional programmatic priorities, facilitated inter-regional co-operation and exchange, and strengthened collaboration between IUCN technical programmes, commissions and members at global, regional and national levels.

External and internal reviews over the period of the three phases have guided the evolution of SDC support on global biodiversity action. Details of each of these phases are provided in Annex I.

### **Need and rationale for the Review**

The results of the 2000 IUCN World Conservation Congress revealed that SDC’s support to IUCN’s global biodiversity work had largely achieved its original intent. Virtually all of the thematic and regional programmes and those of Commissions now have a biodiversity focus. Accordingly it was agreed that an SDC External Review would be undertaken in 2002 to assess the effectiveness and relevance of SDC’s investments in the global biodiversity work of IUCN.

### **Purpose and Requirements of the Review**

The overall purpose of the Review is assess the relevance, and effectiveness of the results of Phase III of the Global Biodiversity Programme, with a particular focus on the approach taken to achieve the results (technical leadership, partnerships, cross-regional links, policy-science-practice links).

The following requirements will guide the design of the methodology and the scope of the review process:

- Assess the extent to which the expected results of Phase III were achieved.
- Describe and assess the relevance, and effectiveness of the partnerships created among Global Thematic Programmes of IUCN, with Commissions and with Regional Programmes in achieving these results in Phase III.
- Describe the institutional influences and effects that have occurred in the IUCN Programme that can reasonably be associated with the Phase III work of the Global Biodiversity Programme.
- Highlight programmatic and organisational lessons learned with regard to the approach that should be taken into consideration by SDC and IUCN.

A draft Evaluation Matrix with questions, sub-questions and data sources is presented in Annex II. This will be refined once the consultants are hired and the detailed data collection tools are developed.

### **Assumptions of the Review**

The Review takes the following statements as accepted and the Review will not reopen debate in these areas:

- Biodiversity conservation, sustainable use and benefit-sharing are necessary foundations for sustainable development. This principle has been accepted by the Union, SDC and a vast majority of the world's governments in the Rio Process as well as in the Convention on Biological Diversity.
- The Convention on Biological Diversity is an important mechanism for biodiversity and a useful vehicle to deliver IUCN's biodiversity policy work and experience.
- Linkages and feedback loops between the global, national, and local levels are essential to adequately conserve biodiversity and to use biological resources in a sustainable and equitable manner. In many ways, biodiversity is most important at the local level. Experiences in its conservation and use at this level provide a wide range of options for decision- and policy-making. However, most national decisions/policies about biodiversity are still taken in urban centres at the national level, and many important decisions that affect biodiversity – such as trade, security, and development assistance – are taken at regional and global levels. Hence policy-practice feedback loops that are appropriately informed by science are essential.
- IUCN has established itself as a scientific leader on biodiversity issues.
- The processes, methodologies and findings of previous reviews are technically sound.

### **Methodological Aspects**

It is expected that this review will require: a thorough review of documents, including a synthesis of findings and recommendations of previous reviews; interviews with key IUCN Secretariat stakeholders at global, regional, national, and Commission level; interviews with key partners and beneficiaries in regions and at global level, and interviews with biodiversity-related Convention staff and interest groups.

The population and sample for data collection will be discussed and agreed with the IUCN Secretariat, SDC and the consultants to create a credible and useful study. This will include discussion on the breadth of the sample and the appropriate depth of the data gathering process to encourage insightful

and useful responses. In this context the consultants are expected to develop reliable and valid data gathering techniques in order to answer the key questions within the available budget. The work plan should be used as the mechanism to discuss the consultants' methodological approach to this review.

### Schedule, Reporting and feedback

Activity	Deadline
Final terms of reference	31 January 2002
Hire Consultants	31 January 2002
Finalise methodology and workplan	22 February 2002
Interviews:	
✓ Headquarters (Gland)	March-April 2002
✓ Regional interviews	March-April 2002
✓ Other stakeholders – (the Hague)	8-26 April 2002
Data gathering completed	15 May 2002
Data analysis completed	20 May 2002
Discussions regarding review findings With Review Steering Committee With Biodiversity Programme partners	30 May 2001
Draft review report to SDC and IUCN	15 June 2001
Feedback from SDC and IUCN	30 June 2001
Final report submitted	15 July 2001

### Experiences Required of the Consultant(s)

- Substantial experience with international organisations
- In-depth working experience in the field of NRM
- Personal experience in some of IUCN partner countries

### Skills Required of the Consultant(s)

- Evaluation design
- Data collection, interviews, focus groups, data analysis
- Report writing
- Knowledge of IUCN and the field of biodiversity
- Language - English
- Flexibility to travel to multiple regions for blocks of time

### Budget

The budget for the Review is not expected to exceed CHF100,000, including IUCN staff time and other costs as a direct result of participation in the review.

### Management of the Review

- The Review is a Joint SDC-IUCN External Review.

- The Review will be managed by the IUCN M&E Unit, external to the IUCN Biodiversity Programme.
- Tasks of the M&E Unit will be – drafting TORs, contracting the consultants, overseeing the development of the methodology and tools, the Review process and reporting schedule.
- SDC and IUCN will jointly agree on the following:
  - The TORs, methodology and workplan for the Review
  - The choice of consultants
  - The budget
  - The adequacy of the both the draft and final reports

## Annex 2. Evaluation matrix

Issue	Key questions	Sub questions	Sources
Performance	Effectiveness	What programme has done	Programme reports
		Programme participants' knowledge of outputs	Interviews with programme participants <sup>1</sup>
		Programme participants' use of outputs	
		Progress made towards objectives	Interviews <sup>2</sup>
		Extent to which IUCN's effectiveness in addressing biodiversity issues strengthened	
		Scientific quality	
		Policy quality	Interviews with programme participants
	Leverage of extra funds	Programme reports, interviews	
	Efficiency	Planning of operations	Programme reports, interviews at HQ, RCOs
		Monitoring of operations	
Cost effectiveness of operations			
Coverage	Coverage of KRAs	Programme reports	
	Differential effectiveness in KRAs	Programme reports, interviews with BPCD	
Approach	Relevance	Relevance of programme to global biodiversity priorities	Interviews with programme participants
		Relevance of programme to programme participants' biodiversity priorities	
	Partnerships	Who partnered whom	Programme reports, interviews with BPCD
		Character of partnerships	Interviews
		Accomplishments of partnerships, and effectiveness in contributing towards objectives	Interviews
	Linkages	What linkages	Programme reports, interviews with BPCD
		Effectiveness of vertical linkages in moving policy awareness and action in both directions	Interviews
		Effectiveness of policy-science-practice linkages	
	Planning and management of innovation	Relevance of support choices made	Interviews and reports
		Efficiency of support strategy (number and size of grants)	
	Institutional influences and effects	Have the planning procedures, systems and formats of this programme served as a positive or negative model for other parts of the IUCN Programme?	IUCN HQ and RCO staff, excluding BPCD
		Has the management of this programme served as a model for other parts of the IUCN Programme?	
		Has the programme been effective in enhancing IUCN policy making?	IUCN HQ and RCO staff
		Has the approach of this programme adequately strengthened the role and capacity of RCOs?	
		Has the approach of this programme promoted sustainable and useful partnerships between RCOs?	
		Has the programme achieved an appropriate balance between the roles and resources of HQ and RCOs?	
		Has the programme been effective in fostering integration within the Union?	
		Has the programme strengthened the role and capacity of Commissions?	IUCN HQ and RCO staff, Commissions
		Has the programme successfully mainstreamed biodiversity into the IUCN Programme?	Already answered at global level. Check RCO programmes.
		Have socio-economic concerns been successfully mainstreamed into the IUCN Programme?	Programme reports; HQ, RCO, Commission interviews
		How should IUCN structure its future relationship with the CBD?	IUCN HQ and RCO staff

<sup>1</sup> 'Programme participants' are defined as everyone involved in the programme except BPCD staff.

<sup>2</sup> 'Interviews' without further specification means interviews with the full range of identified stakeholders.

### Annex 3. Questionnaire

#### SDC-IUCN Joint Review of the IUCN Global Biodiversity Programme, Phase III

SDC and IUCN are currently conducting an external review of Phase III of the IUCN Global Biodiversity Programme (2000-2002). The review will be based on analysis of the programme documentation and interviews with key partners and stakeholders. The review team consists of two consultants:

Stephen Turner ([sdturner@iafrica.com](mailto:sdturner@iafrica.com); tel: +31 20 444 9078) and  
Meg Gawler ([meg@artemis-services.com](mailto:meg@artemis-services.com); tel: +33 4 5040 7870).

A member of the review team will contact you to arrange an interview based on the following questionnaire. It may take you 20 minutes or more to answer the questionnaire, and we should count roughly an hour for the follow-up interview. It would be very helpful if you would fill out the questionnaire as fully as possible, and email it to both reviewers at least two days before your scheduled interview. We recognise that filling in answers to all 26 questions in detail may demand more time than you have. In that case, please answer as much as you can and email the questionnaire back. We will then follow up in more detail during the interview.

In addition to your summary assessments (provided by ticking the relevant boxes), we are particularly interested in your examples and commentary relating to each of the questions. Our main concern is to learn how you view and assess the IUCN Global Biodiversity Programme from the perspective of your programme's or organisation's work in the field of biodiversity. **Please limit your answers to address the work of the Global Biodiversity Programme during its current phase (Phase III), i.e., since January 2000.**

Your response will be kept strictly confidential. Information will be aggregated by stakeholder group, synthesised, and presented in a report to SDC and IUCN management.

Your views are extremely valuable for this exercise. We realise that your time is precious, and we thank you very much for your input to the review.

<i>IDENTIFICATION</i>			
Your Name			
Position			
Organisation			
Telephone			
Email			
Has your programme received funds from the IUCN Global Biodiversity Programme?	Yes	No	
<b>To be completed by reviewer</b>	<b>Date</b>		<b>Reviewer</b>
	<b>Resp. Code</b>		<b>Proj. Code(s)</b>

**Phase III of the SDC/IUCN Global Biodiversity Programme had two broad objectives:**

- A strong international biodiversity agenda with political and financial support is agreed and implemented.
- Impacts on biodiversity especially from sectoral activities, climate change, biotechnology and trade are identified and responsive measures developed and applied at national, regional and global levels.

The programme has specified a series of detailed objectives and undertaken a wide range of activities aimed at achieving results that will contribute to them and to the broader objectives.

1. With which projects or areas of work of Phase III of the programme have you been involved (rank from greatest to least involvement)?

1
2
3
4
5

2. Can you name some of the outputs produced by Phase III of the IUCN Global Biodiversity Programme?

1
2
3
4
5

3. Overall, how would you judge the scientific quality of these outputs?

Don't know		Very poor	Poor	Adequate	Good	Very good

Give specific examples:

4. Overall, how would you judge the utility of these outputs from a policy perspective?

Don't know		Very poor	Poor	Adequate	Good	Very good

Give specific examples:

5. Which of these outputs has your programme or organisation used?

Output	How used
1	
2	
3	
4	
5	

6. How relevant has Phase III of the Global Biodiversity Programme been to global biodiversity concerns as you perceive them?

Don't know		Irrelevant	Slightly relevant	Somewhat relevant	Quite relevant	Highly relevant

Explain:



7. In the areas of its work with which you are familiar, how effective has Phase III of the Global Biodiversity Programme been in contributing towards its broad objectives of building a strong international biodiversity agenda and developing measures to respond to impacts on biodiversity?

Don't know		Ineffective	Slightly effective	Somewhat effective	Quite effective	Highly effective

Explain:

8. What partnerships between programmes or organisations did Phase III of the programme build or use in order to help achieve its objectives? What was the character of these partnerships (symmetrical, dependent, top-down....)? What was the purpose of these partnerships?

Partnerships between whom & whom	Character of partnership	Purpose of partnership
1		
2		
3		
4		
5		

9. How effective were the partnerships in achieving the Global Biodiversity Programme's Phase III objectives of building a strong international biodiversity agenda and developing measures to respond to impacts on biodiversity?

Don't know		Ineffective	Slightly effective	Somewhat effective	Quite effective	Highly effective

Explain:

10. How effectively did Phase III of the Global Biodiversity Programme build vertical (local-national-regional-global) linkages in pursuit of its objectives? Give examples.

Don't know		Ineffective	Slightly effective	Somewhat effective	Quite effective	Highly effective

Example of vertical linkage	Use or value of linkage
1	
2	
3	
4	
5	

11. How effectively did Phase III of the Global Biodiversity Programme build linkages between policy, science and practice in pursuit of its objectives? Give examples.

Don't know		Ineffective	Slightly effective	Somewhat effective	Quite effective	Highly effective

Examples of policy/science/practice linkages	Use or value of linkage
1	
2	
3	
4	
5	

12. Has Phase III of the Global Biodiversity Programme effectively strengthened Commissions with regard to their work on biodiversity?

Don't know		Ineffective	Slightly effective	Somewhat effective	Quite effective	Highly effective

Give examples:

13. How should IUCN structure its future relationship with the CBD?

Don't know		Radical changes needed	Major changes needed	Some changes needed	Minor changes needed	More of the same

Explain:

14. Has Phase III of the Global Biodiversity Programme been effective in enhancing the ways IUCN makes its policies?

Don't know		Ineffective	Slightly effective	Somewhat effective	Quite effective	Highly effective

How? Why?

15. Has the approach of Phase III of the Global Biodiversity Programme effectively strengthened the RCOs with regard to their work on biodiversity?

Don't know	Ineffective	Slightly effective	Somewhat effective	Quite effective	Highly effective

Give examples:

16. Has the approach of Phase III of the Global Biodiversity Programme effectively strengthened other Global Thematic Programmes with regard to their work on biodiversity?

Don't know	Ineffective	Slightly effective	Somewhat effective	Quite effective	Highly effective

Give examples:

17. Do you consider that the objectives of Phase III of the Biodiversity Programme (a strong international biodiversity agenda, measures to respond to biodiversity threats) are now integral to your part of the IUCN Programme?

Don't know	Not at all	A little	Partly	Substantially	Entirely

In what ways?

18. Do you consider that addressing socio-economic concerns is now integral to your part of the IUCN Programme?

Don't know	Not at all	A little	Partly	Substantially	Entirely

In what ways?

19. Has Phase III of the Global Biodiversity Programme achieved an appropriate balance between the roles and resources of Headquarters and RCOs?

Don't know	Wholly inappropriate	Some wrong choices made	Reasonably appropriate	Mostly right choices made	Wholly appropriate

Explain:

20. One of the criteria for project funding in Phase III of the Global Biodiversity Programme is "Involves at least one each of global programmes, RCOs, Commissions and Members". How effective has this approach been in fostering integration within the Union?

Don't know	Ineffective	Slightly effective	Somewhat effective	Quite effective	Highly effective

Give examples:

21. Has the approach of Phase III of the Global Biodiversity Programme promoted effective partnerships between RCOs, i.e., partnerships that have helped achieve the objectives of the regional programmes?

Don't know		Ineffective	Slightly effective	Somewhat effective	Quite effective	Highly effective

Give examples:

22. Has the approach of Phase III of the Global Biodiversity Programme promoted sustainable partnerships between RCOs (i.e., partnerships that will outlast the Global Biodiversity Programme)?

Don't know		Probably unsustainable	Sustainability doubtful	May be sustainable	Good signs of sustainability	Probably sustainable

Give examples:

23. In the areas of its work with which you are familiar, how would you score the efficiency of Phase III of the Global Biodiversity Programme's operations (the extent to which the programme used its resources cost-effectively)?

Don't know		Very poor	Poor	Adequate	Good	Very good

Explain:

24. Has funding provided by Phase III of the Global Biodiversity Programme succeeded in leveraging extra funds?

Don't know		Yes	No

Give examples:

25. To what extent have BPCD's planning procedures, systems and management of Phase III of this programme served as a model for other parts of the IUCN Programme?

Don't know		Showed how not to do it	Some warnings	Neutral	Some guidance	A good model to follow

In what ways?

26. Overall, how strongly do you endorse the strategic choices that the Global Biodiversity Programme has made in the current phase (2000-2002)? (For example, how appropriate were its choice of themes and partnerships? its choice of ways to work with the CBD and other conventions? its choice of emphasis among its own objectives and among KRAs?)

Don't know		Wholly inappropriate	Some wrong choices made	Reasonably appropriate	Mostly right choices made	Wholly appropriate

Give examples:

Are there any additional programmatic or organisational lessons that you would like to highlight from Phase III of the Global Biodiversity Programme?

## Annex 4. List of key informants

Last name	First name	Organisation / Unit	Stakeholder group
Abu-Izzeddin	Faisal	WESCANA	R
Balakrishna	Pisupati	Asia RBP	R
Bertrand	Nick	Business, econ	G
Bracket	David	SSC, Canada W'lfe Service	C
Chabeda	Paul	UNEP	O
Chouchena-Rojas	Martha	Policy, Biodiv & Int'l Agreements	B
Davidson	Nick	Ramsar	O
de Poorter	Maj	Invasive Species Specialist Group	C
Edwards	Steve	Ecosystem Management	G
Emerton	Lucy	Asia Env Economics Prog	R
Espinosa	Cristina	Social Policy	G
Goldstein	Wendy	Communications and Education	G
Hamú	Denise	CEC	C
Hough	John	UNDP	O
Hyvarinen	Joy	RSBP	O
Issa	Abdul-rahman	Eastern Africa	R
Jackson	Bill	Forest Conservation	G
La Vina	Tony	WRI	R
Lahmann	Enrique	Meso-America	R
Lisinge	Estherine	WWF Cameroon PO	O
Luna	Alvaro	South America	R
MacPherson	Nancy	M&E Unit	G
Mainka	Sue	Species Programme	G
Martinet	Caroline	BPCD	B
Masundire	Hillary	CEM	O
McNeely	Jeffrey	BPCD	B
Miller	Kenton	WCPA	C
Mulongoy	Jo	CBD	O
Orlando	Brett	Policy, Biodiv & Int'l Agreements	B
Parakatil	Francis	WESCANA	R
Pirot	Jean-Yves	Wetlands and Water	G
Rietbergen	Simon	Forests	G
Salas	Alberto	Meso-America	R
Schultz	Maria	SIDA	O
Sheppard	David	Protected Areas	G
Tamale	Erie	CBD	O
Thiaw	Ibrahim	Western Africa	R
Vorhies	Frank	Biodiversity and Business	G
Wiseman	Rachel	Ex-European Office	R
Young	Tomme	Environmental Law	G
Zahner	Philippe	SDC	O
Van der Zon	Ton	DGIS	O

### Key to stakeholder groups:

B = BPCD, C = Commissions, G = Global programmes, O = Outside IUCN, R = Regional programmes.



## **Annex 5. Phase III objectives and results**

### **GBP objectives**

1. Decisions and policies affecting biodiversity influenced by recommendations and guidelines provided, based on sound interdisciplinary scientific information
2. Governments, the scientific community and civil society have greater commitment to the conservation, sustainable use and management of biodiversity
3. Biodiversity-related agreements implemented in a synergistic manner
4. Integrated and effective biodiversity planning processes implemented by governments and relevant institutions
5. Governments and users have developed and implemented incentive measures and financial systems that support biodiversity conservation and sustainable use.
6. Governments and decision-makers have adopted measures to implement to ensure equitable and fair sharing of benefits derived from biodiversity use
7. Tools and methodologies for biodiversity assessment are developed and promoted to support the implementation of national and global biodiversity monitoring systems
8. The vulnerability of the world's ecosystems, species, and communities to climate change clarified
9. The options to strengthen capacity and management effectiveness to minimise the effects of, and adapt to, the effects of climate change identified.
10. Ecological, social, legal, institutional and economic issues related to carbon sequestration activities evaluated and assessed.

### **GBP intended results**

- 1.1 Analytical documents and technical evaluations prepared and advocated for key agreements, in particular: technical contributions to the CBD Secretariat for the preparation of technical papers on key issues.
- 1.2 IUCN Policy papers on priority issues at global, regional and national levels prepared and advocated for key CBD events
- 1.3 Regional and national preparatory meetings facilitated to prepare Parties and NGOs for CBD meetings. [RCOs]
- 1.4 Advice and policy support provided to biodiversity-relevant inter-governmental processes, including the UN General Assembly, the World Bank, the Global Environment Facility and the Commission on Sustainable Development.
- 1.5 Support provided to enhance national level capacities, especially of contracting Parties, to implement the different provisions of the CBD. [RCOs]
- 1.6 Emerging issues that affect biodiversity identified, such as biotechnology (including biosafety and the impacts of genetically modified organisms) and their relevance to the IUCN programme reviewed.
- 1.7 The capacity of IUCN Regional and Global programmes enhanced to enable them to contribute effectively to KRA2
  
- 2.1 Sessions of the Global Biodiversity Forum organized to enhance stakeholder participation and improve linkages between science and policy at regional and global levels. [RCOs]
  
- 3.1 Policy briefs prepared and advocated for meetings of key agreements, including CBD, CEC, CITES, WHC, Ramsar, CCD, FCCC, IWC, UNCLOS, WTO and CMS
- 3.2 Policy research on synergies between environmental agreements supported (ELC, RCOs)
- 3.3 Support provided for the implementation of synergistic approaches between agreements, particularly in relation to CBD, CCD, CITES, FCCC and Ramsar. [RCOs]

- 3.4 As a partner in the GISP, possible global mechanisms explored to strengthen the implementation of environmental instruments that have a mandate to work on invasive species (e.g., CBD, Ramsar, WHC). [ELC; SSC]
- 3.5 Support provided for the development of tools and policies on the linkages between biodiversity, climate change and restoration. [CEL, CEM]
- 3.6 Support provided to the regions to address the linkages between biodiversity, climate change and restoration. [CEM, SSEA, ORMA]
- 3.7 Technical inputs for the Intergovernmental Panel on Climate Change (IPCC) and legal analysis for the UN Framework Convention on Climate Change on climate change and biodiversity developed
- 3.8 Enhanced regional and national legal and institutional capabilities for implementation of UNFCCC in relation to biodiversity conservation
  
- 4.1 Experience shared and capacity built in the development and implementation of NBSAPs in particular: applying an ecosystem approach; integrating biodiversity into sectors; monitoring; incentives and financing; communications and sub-national planning. [EARO; ESU; CEC; CEM; SSEA; ROSA]
- 4.2 Implementation of national biodiversity strategies and action plans supported in several regions
- 4.3 Guidelines and tools prepared on the integration biodiversity concerns into sectoral planning (i.e., fisheries, tourism, agriculture, forestry, health, military). [RCOs]
- 4.4 The development and implementation of corporate biodiversity strategies by selected private sector institutions supported
  
- 5.1 Support provided to research and the development of methodologies and tools on funding mechanisms for CBD implementation and biodiversity conservation at national and regional levels. [ESU]
- 5.2 Support provided to governments to use new financing mechanisms to implement the CBD [ESU]
- 5.3 Support provided to research and the development of methodologies and tools on incentives for CBD implementation and biodiversity conservation at national and regional levels. [ESU]
- 5.4 Support provided to governments to use new incentive mechanisms to implement the CBD [ESU]
  
- 6.1 Support provided for the development of concepts, case studies and tools on sharing of benefits from biodiversity. [RCOs, SPP, CEL/ELP]
- 6.2 Support to capacity building of decision-makers to implement benefit-sharing measures provided
- 6.3 Support to policy development and advocacy on benefit-sharing in key fora provided [RCOs]
  
- 7.1 The development of indices of biodiversity health from the IUCN Red List of Threatened Species are supported. These indices will be used to contribute the biodiversity component to the Wellbeing Assessment Method. [SSC]
- 7.2 Tools developed to support the implementation of national, regional and global biodiversity monitoring systems and action plans beginning in Southern and Eastern Africa. [EARO; ROSA; MEP]
- 7.3 The biodiversity components of ‘Wellbeing of Nations report’ promoted within the CBD context, with a view to enhanced conservation measures being adopted by CBD Parties. [Monitoring and Assessment Programme; RCOs] – technical input provided
- 7.4 Support provided to the development and advocacy of policies and tools on biodiversity impact assessments [ESU, RCOs]
- 7.5 Support provided to the advocacy of policies and tools on BIA [ESU, RCOs]
  
- 8.1 Develop and refine tools for assessing the impact of climate change on biodiversity
- 8.2 Capacity of IUCN members to assess the impact of climate change on biodiversity built

- 8.3 Members assisted in designing and implementing monitoring and systems on the status and trends of ecosystem and species resiliency in relation to climate change
  
- 9.1 Analysis of the ecosystem approach as a response to climate change
- 9.2 Members and partners assisted to design methods to assess the effectiveness of protected areas in minimizing the impacts of, and adapting to, climate change
- 9.3 Members and partners assisted to develop and implement anticipatory climate change adaptation strategies using an ecosystem approach
- 9.4 Members and partners assisted in adopting and implementing policies and measures to address climate change adaptation
- 9.5 Regional networks of Governments, NGOs and private sector to promote an ecosystem approach as an integral response to climate change developed
  
- 10.1 Financial mechanisms and incentives for carbon sequestration activities as they related to forest and other ecosystems analyzed
- 10.2 Members and partners assisted in designing and implementing positive incentive measures to promote the application of an ecosystem approach to carbon sequestration activities
- 10.3 Analysis of equity issues in relation to the costs and benefits of carbon sequestration and other climate change mitigation strategies as they relate to forests and other ecosystems
- 10.4 Develop practical mechanisms and innovative approaches for the equitable distribution of benefits from carbon sequestration activities as they relate to forests and other ecosystems.

## Annex 6. GBP portfolio: List of projects according to expenditure

(Results without budgets not included)

KRA	KEGO	GBP Objective(s)	Expected Result(s)	Project	Project Code	Actual Budget	Expenditure	Lead	Programme
7*	O*	Various		BPCD staff costs	0	775,000	<b>980,000</b>	McNeely	BPCD
2.6	G	1. Decisions and policies influenced	1.2 IUCN Policy papers on priority issues prepared and advocated for key CBD events 1.3 Regional and national preparatory meetings facilitated to prepare Parties and NGOs for CBD meetings	IUCN policy work for CBD meetings	15 15b	300,000	<b>205,018</b>	Chouche-na-Rojas	BPCD
3.7	G	5. Incentive measures developed and implemented	5.3 Support provided for incentives for CBD implementation and biodiversity conservation at national and regional levels	Biodiversity Incentives and Economic Strategies	32	125,005	<b>125,005</b>	Vorheis	Economic s

<b>KRA</b>	<b>KEG O</b>	<b>GBP Objective(s)</b>	<b>Expected Result(s)</b>	<b>Project</b>	<b>Project Code</b>	<b>Actual Budget</b>	<b>Expen- diture</b>	<b>Lead</b>	<b>Pro- gramme</b>
2.2	K	4. Biodiversity planning processes implemented  5. Incentive measures developed and implemented	4.1 Experience shared and capacity built in the development and implementation of NBSAPs 4.3 Guidelines and tools prepared on the integration biodiversity concerns into sectoral planning 5.1 Support provided for funding mechanisms for CBD implementation and biodiversity conservation at national and regional levels 5.3 Support provided for incentives for CBD implementation and biodiversity conservation at national and regional levels	Mainstreaming biodiversity into the economic policies, programmes and plans of the forest sector in East Africa, Asia and South America	24	97,000	<b>96,290</b>	Emerton	EARO
1.3	E	3. Biodiversity-related agreements implemented in a synergistic manner	3.6 Support provided to the regions to address the linkages between biodiversity, climate change and restoration	Management and restoration of forest ecosystems in Central America	26	80,000	<b>80,000</b>	Salas / Lahmann	ORMA
7	O			Biodiversity Planning Meetings	18	72,000	<b>73,923</b>	Martinet	BPCD

<b>KRA</b>	<b>KEG O</b>	<b>GBP Objective(s)</b>	<b>Expected Result(s)</b>	<b>Project</b>	<b>Project Code</b>	<b>Actual Budget</b>	<b>Expen- diture</b>	<b>Lead</b>	<b>Pro- gramme</b>
5.1	K	7. Tools and methodologies for biodiversity assessment	7.2 Tools developed to support the implementation of national, regional and global biodiversity monitoring systems and action plans beginning in Southern and Eastern Africa	Biodiversity assessment in the Southern African region	30	75,000	<b>73,837</b>	Kokwe	ROSA
5.7	G	7. Tools and methodologies for biodiversity assessment	7.4 Support provided to the development and advocacy of policies and tools on biodiversity impact assessments 7.5 Support provided to the advocacy of policies and tools on BIA	Biodiversity and Impact Assessment	31	75,000	<b>69,102</b>	Bagri	Economic s
1.1	K	3. Biodiversity-related agreements implemented in a synergistic manner	3.6 Support provided to the regions to address the linkages between biodiversity, climate change and restoration	Forest rehabilitation and restoration in South Asia	1	65,000	<b>63,376</b>	Balakrish na	Asia
6	E	4. Biodiversity planning processes implemented	4.1 Experience shared and capacity built in the development and implementation of NBSAPs	Building communication capacity among IUCN RCOs, members and partners	21	75,000	<b>60,240</b>	Goldstein	CEC
5.4	K	1. Decisions and policies influenced	1.5 Support provided to enhance national level capacities to implement the different provisions of the CBD	Assessment methodology on national compliance	29	60,000	<b>60,000</b>	Salas / Lahmann	ORMA

<b>KRA</b>	<b>KEGO</b>	<b>GBP Objective(s)</b>	<b>Expected Result(s)</b>	<b>Project</b>	<b>Project Code</b>	<b>Actual Budget</b>	<b>Expenditure</b>	<b>Lead</b>	<b>Programme</b>
1.2	K	1. Decisions and policies influenced	1.5 Support provided to enhance national level capacities to implement the different provisions of the CBD	International Support for an African Protected Areas Initiative	23	55,000	<b>52,762</b>	Kisioh	EARO
1.5	E	1. Decisions and policies influenced	1.5 Support provided to enhance national level capacities to implement the different provisions of the CBD	Regional training workshop on Protected Area systems planning	3	51,000	<b>50,588</b>	Balakrishna	Asia
2.5	E	4. Biodiversity planning processes implemented	4.1 Experience shared and capacity built in the development and implementation of NBSAPs	Development of provincial BAP guidelines	7	55,000	<b>50,445</b>	Balakrishna	Asia RBP
3.6	G	5. Incentive measures developed and implemented	5.1 Support provided for funding mechanisms for CBD implementation and biodiversity conservation at national and regional levels 5.3 Support provided for incentives for CBD implementation and biodiversity conservation at national and regional levels	Regional Environmental Economics programme for IUCN Asia and Pakistan	9	86,000	<b>43,000</b>	Emerton	Asia

<b>KRA</b>	<b>KEGO</b>	<b>GBP Objective(s)</b>	<b>Expected Result(s)</b>	<b>Project</b>	<b>Project Code</b>	<b>Actual Budget</b>	<b>Expenditure</b>	<b>Lead</b>	<b>Programme</b>
2.6	G	1. Decisions and policies influenced	1.2 IUCN Policy papers on priority issues prepared and advocated for key CBD events 1.5 Support provided to enhance national level capacities to implement the different provisions of the CBD	Regional policy guidance on Sustainable Use of Biodiversity in Africa, Latin America, and Asia	33	40,000	<b>40,000</b>	Edwards / Barreto	SUI
1.5	G	1. Decisions and policies influenced	1.6 Emerging issues that affect biodiversity identified and their relevance to the IUCN programme reviewed.	Bushmeat Initiative	34	40,000	<b>40,000</b>	Baretto / Mainka	SUI + Species
5.1	K	7. Tools and methodologies for biodiversity assessment	7.1 The development of indices of biodiversity health from the IUCN Red List of Threatened Species are supported	Using the IUCN Red List to Develop Indicators on the Status and Trends of Biodiversity	35	34,000	<b>34,000</b>	Stuart / Mainka	Species
1.4	E	3. Biodiversity-related agreements implemented in a synergistic manner	3.4 Possible global mechanisms explored to strengthen the implementation of environmental instruments on invasive species	Alien invasive species in Meso-America	28	40,000	<b>30,488</b>	Lahmann	ORMA
5.6	E	7. Tools and methodologies for biodiversity assessment	7.1 The development of indices of biodiversity health from the IUCN Red List of Threatened Species are supported	Regional Red List Training Workshop	27	20,680	<b>30,000</b>	Lahmann	ORMA



<b>KRA</b>	<b>KEG O</b>	<b>GBP Objective(s)</b>	<b>Expected Result(s)</b>	<b>Project</b>	<b>Project Code</b>	<b>Actual Budget</b>	<b>Expen- diture</b>	<b>Lead</b>	<b>Pro- gramme</b>
4.1	K	6. Equitable and fair sharing of benefits	6.1 Support provided for the development of concepts, case studies and tools on sharing of benefits from biodiversity	Development of Tools and Capacity for Benefit-Sharing	19	40,000	<b>28,251</b>	Couchena s-Rojas, Ruiz, Young	BPCD, SUR, Env Law
7	O			RBP staff time + op costs	13	-	<b>25,224</b>		Asia RBP
2.5	E	4. Biodiversity planning processes implemented	4.1 Experience shared and capacity built in the development and implementation of NBSAPs	South Asia regional Biodiversity Action Plan (BAP) workshop	6	25,500	<b>23,221</b>	Balakrishna	Asia
7	O			BPCD consultants, interns	0b	-	<b>22,467</b>	Martinet	BPCD
1.3	E?	1. Decisions and policies influenced 4. Integrated and effective biodiversity planning processes implemented	1.5 Support provided to enhance national level capacities to implement the different provisions of the CBD 4.1 Experience shared and capacity built in the development and implementation of NBSAPs	An Ecosystem Approach under the CBD, from concept to action: 3 regional pathfinder workshops	22	20,204	<b>20,204</b>	Smith (S. Am., Southern Africa, and SE Asia)	CEM
3.6	G	5. Incentive measures developed and implemented	5.1 Support provided for funding mechanisms for CBD implementation and biodiversity conservation at national and regional levels	Amazon Basin Economics Workshop	20	17,300	<b>17,300</b>	Puvol	SUR
7	O			Finalisation of the RBP's strategic framework	12	17,200	<b>17,143</b>		Asia RBP

<b>KRA</b>	<b>KEGO</b>	<b>GBP Objective(s)</b>	<b>Expected Result(s)</b>	<b>Project</b>	<b>Project Code</b>	<b>Actual Budget</b>	<b>Expenditure</b>	<b>Lead</b>	<b>Programme</b>
2.8	G	10. Carbon sequestration	10.1 Financial mechanisms and incentives for carbon sequestration activities as they related to forest and other ecosystems analyzed	Carbon sequestration, forest biodiversity, and livelihoods	16	30,000	<b>15,339</b>	Orlando	BPCD
2	E	1. Decisions and policies influenced	1.2 IUCN Policy papers on priority issues prepared and advocated for key CBD events	Development of a policy network in Asia	4	15,000	<b>14,715</b>	Kabraji	Asia
2.5	E	6. Equitable and fair sharing of benefits	6.1 Support provided for the development of concepts, case studies and tools on sharing of benefits from biodiversity	Publication of Madras Workshop proceedings (on access and benefit-sharing)	8	15,000	<b>13,361</b>	Balakrishna	Asia RBP
7	O			Monitoring and evaluation	17	85,000	<b>11,165</b>	Martinet	BPCD
2.5	E			CBD Prep meeting for WESCANA	36	11,000	<b>11,000</b>	Parakatil	WESCAN A
6	K?			Publication of Biolog	11	5,200	<b>5,154</b>		Asia
1.1	K	3. Biodiversity-related agreements implemented in a synergistic manner 9. The options to strengthen capacity and management effectiveness regarding climate change identified	3.5 Support provided for the development of tools and policies on the linkages between biodiversity, climate change and restoration 9.1 Analysis of the ecosystem approach as an response to climate change	Biodiversity, Climate Change, and Restoration of Ecosystems / Ecosystem Management	14	30,000	<b>3,750</b>	Orlando	BPCD

<b>KRA</b>	<b>KEGO</b>	<b>GBP Objective(s)</b>	<b>Expected Result(s)</b>	<b>Project</b>	<b>Project Code</b>	<b>Actual Budget</b>	<b>Expenditure</b>	<b>Lead</b>	<b>Programme</b>
2.5	E	1. Decisions and policies influenced	1.6 Emerging issues that affect biodiversity identified and their relevance to the IUCN programme reviewed.	Building capacity to address Biosafety Issues and to Implement the Biosafety Protocol	5	2,500	<b>2,387</b>	Balakrishna	Asia
5.6	E	7. Tools and methodologies for biodiversity assessment	7.1 The development of indices of biodiversity health from the IUCN Red List of Threatened Species are supported	Strengthening the Red List Process as a Key Tool for Biodiversity Assessments in South and Southeast Asia	10	2,000	<b>1,940</b>	Balakrishna	Asia
1.4	E	3. Biodiversity-related agreements implemented in a synergistic manner	3.4 Possible global mechanisms explored to strengthen the implementation of environmental instruments on invasive species	Building capacity to address alien invasive species in Asia	2	2,500	<b>1,870</b>	Balakrishna	Asia
1.1	K	1. Decisions and policies influenced	1.1 Analytical documents and technical evaluations prepared and advocated for key agreements	Scoping biodiversity and agriculture: strategic development of IUCN's current and future work programme	25	45,000?	<b>0</b>	Wiseman	Europe

## **Annex 7. Annotated list of documents consulted**

### **Phase III project outputs:**

Balakrishna, P. 2001. *Agriculture and Biodiversity*. IUCN Regional Biodiversity Programme, Asia, Colombo, Sri Lanka. 68pp.

A discussion of agribiodiversity, with examples and case studies from Asia.

Balakrishna, P. Surangika, K.B.N.U. and Wijayanandana, N. (compilers). 2001. *Resource Kit for Biodiversity Planners*. IUCN Regional Biodiversity Programme, Asia, Colombo, Sri Lanka. 301+39pp.

Balakrishna, P. and McNeely, J. 2002. Agricultural biological diversity. IUCN recommendations to CBD COP6. 6pp.

A review of key issues, including: sustainable agriculture; the role, conservation and sustainable use of pollinators; the FAO International Treaty on Plant Genetic Resources for Food and Agriculture; biotechnology; and trade.

Carew-Reid, J. (ed.). Biodiversity Planning in Asia. IUCN Regional Biodiversity Programme, Asia, (CD ROM).

CBD, UNESCO and IUCN Commission on Education and Communication. 2002. Mainstreaming biological diversity: the role of communication, education and public awareness. 8pp.

A colour brochure that attempts to demonstrate the importance of Communications, Education, and Public Awareness (CEPA) achieving biodiversity conservation.

Chouchena-Rojas, M. 2000a. The Convention on Biological Diversity: a useful framework. *World Conservation 1/2000*: 6-7.

The paper argues that since the CBD's mandate and approach are so close to IUCN, and since it represents the agreement of most governments in the world, it presents a useful mechanism to carry out IUCN's mission and work programme.

Chouchena-Rojas, M. 2000b. Mission report: GBF15 and CBD COP5, Nairobi, Kenya, May 2000. IUCN, Gland, Switzerland. 33pp.

Chouchena-Rojas, M. 2001a. Mission report: SBSTTA6, Montreal, Canada, March 2001. IUCN, Gland, Switzerland. 23pp.

Chouchena-Rojas, M. 2001b. Mission report: SBSTTA7, Montreal, Canada, November 2001. IUCN, Gland, Switzerland. 17pp.

Chouchena-Rojas, M.. 2002. Mission report, CBD-COP6 / ICCP3; The Hague, Netherlands. 27pp.

De Poorter, M. 2002. Alien species that threaten ecosystems, habitats or species. IUCN information paper to CBD COP6. 5pp.

An explanatory note on terminology and definitions.

De Poorter, M. and Chouchena-Rojas, M. 2002. Alien species that threaten ecosystems, habitats or species. IUCN Recommendations to CBD COP6. 5pp.

IUCN urges the Parties to support a CBD work programme on invasive alien species, reach agreement on terminology, and adopt guiding principles on invasive alien species.

Edwards, S. and Chouchena-Rojas, M. 2002. Sustainable use: Progress on development of practical principles, operational guidance and associated instruments. IUCN Recommendations to CBD COP6. 4pp.

IUCN recommends encouraging all Parties to identify characteristics of sustainable use and tools and instruments that have proven effective, and recommends that the Secretariat develop a summary form for case studies on sustainable use.

Emerton, L. 2001. *The Use of Economic Measures in National Biodiversity Strategies and Action Plans: A Review of Experiences, Lessons Learned and Ways Forward*. IUCN Regional Environmental Economics Programme for Asia, Karachi. 84+pp.

A thematic review on the use of economics in NBSAPs, including guidance on the use of economic measures for biodiversity planning; experiences and best practices from national examples; ways forward in NBSAP planning and implementation; and the design of incentive measures.

Espinosa, M.F. and Chouchena-Rojas, M. 2002. Article 8(j) and related provisions. IUCN Recommendations to CBD COP6. 11pp.

Recommendations on strengthening the role of indigenous and local communities in the implementation of the CBD, including recommendations for cultural, environmental and social impact assessments, participation mechanisms, assessment of the effectiveness of existing instruments, protected areas, sustainable use, traditional knowledge and intellectual property rights.

Goldstein, W. and Chouchena-Rojas, M. 2002. Education and public awareness (Article 13). IUCN recommendations to CBD COP6. 2pp.

A very short paper that succinctly sets out the requirements for developing education and public awareness for the effective implementation of the Convention.

Guveya, E., Kokwe, M. and Hachileka, E. 2001. Zambia NBSAP Monitoring System. IUCN ROSA, Harare, Zimbabwe. 39pp.

Under the terms of the CBD, Parties are required to create National Biodiversity Strategy Action Plans (NBSAPs) detailing their efforts to conserve and sustainably use biological diversity. This report covers the proceedings of a workshop with Zambia's NBSAP Task Force in May 2001 to develop a monitoring plan for the country's NBSAP. The monitoring plan uses the Sustainability Assessment Method which links indicators for human development and biodiversity conservation. This work is part of a series of enabling activities intended to demonstrate the feasibility of monitoring NBSAPs so as to influence national and international policy.

Hernandez, G. (ed.) 2002. *Biodiversity in Mesoamérica: Regional report on compliance with the Convention on Biological Diversity*. Comisión Centroamericana de Ambiente y Desarrollo.

A regional report based on the Second National reports to the CBD of each of the eight countries of Mesoamerica, and describes the extent of Mesoamerica's compliance with the CBD and how that relates to the priorities established in each country, and in the region as a whole. The work helped define the position of the region with respect to the commitments of the CBD and the topics of COP6.

IISD. 2002. Summary of the International Expert Meeting on Forest Landscape Restoration, February 2002 in Heredia, Costa Rica.

The purpose of the meeting was to present the Forest Landscape Restoration approach to a broader audience and engage them in developing key concepts. Forest Landscape Restoration (FLR) goes beyond the narrow focus of traditional restoration, and focuses on goods and services and on processes. FLR seeks to advance both ecological integrity and human well-being at the landscape scale.

Issa, A. and Chouchena-Rojas, M. 2002. Biological diversity of dry and sub-humid lands. IUCN recommendations to CBD COP6. 4pp.

IUCN endorses the joint CBD-CCD programme of work, and urges firm commitments to support this, bearing in mind that these biomes have received less attention than other ecosystems.

IUCN. 2001b. The IUCN Red List of Threatened Species – a tool for monitoring biological diversity – implementation of Article 7 Identification and Monitoring: Recommendations to SBSTTA, March 2001, agenda items 3.2 and 5.1. 5 pp.

A presentation to SBSTTA of SSC's new goal to provide indices of the state of biodiversity (*see IUCN SSC 2000 below*) – a radical departure for the Red List Programme focusing on using the data in the Red List for multi-species analyses in order to understand what is happening to biodiversity in different taxonomic groups, in different regions and countries, in different biomes, and under different causal threats.

IUCN. 2001c. Carbon sequestration, biodiversity and sustainable livelihoods. Discussion paper. 8pp.

This paper analyses the forest-related provisions of the Kyoto Protocol to the UNFCCC for IUCN's Members and partners. IUCN seeks to ensure that the forest related provisions of the Kyoto Protocol will be consistent with efforts to conserve forests and to promote sustainable livelihoods, and urges the UNFCCC to ensure that any land use, land use change and forestry (LULUCF) activities undertaken to implement the convention are environmentally sound and lead to long-term benefits to the global climate. The paper delineates 16 useful criteria that the UNFCCC should adopt for LULUCF activities to be accepted towards a Party's obligations under the Kyoto Protocol. It discusses how managing carbon may require trade-offs with other ecosystem services, and advocates the ecosystem approach to balance climate change, biodiversity and social objectives.

IUCN BPCD. 2000. Supporting Global Action to Conserve Biodiversity and Sustainable Use of Biological Resources: Phase III – Workplan and Budget 2000-2001. Report to SDC.

IUCN BPCD. 2001. Supporting Global Action to Conserve Biodiversity and Sustainable Use of Biological Resources: Phase III – 2000 Technical Report; 2000 Financial Report; 2001-2002 Workplan and Budget. Report to SDC. 38pp.

IUCN BPCD. 2002. Supporting Global Action to Conserve Biodiversity and Sustainable Use of Biological Resources: Phase III – 2001 Technical Report; 2002 Workplan and Budget. Report to SDC. 55pp.

IUCN / FAO / TRAFFIC. (no date). Links between biodiversity conservation, livelihoods and food security: the sustainable use of wild meat. Communiqué of an IUCN/FAO/TRAFFIC workshop in Yaoundé, Cameroon. 7pp.

Results of a workshop on the sustainable use of wild meat in Central Africa, which developed a problem tree and a solutions table, to identify the main issues that need to be addressed together with specific action strategies.

IUCN Regional Biodiversity Programme Asia. 2002. Financing NBSAPs: options and opportunities. Draft. 45pp.

This toolkit was prepared in response to the real risk that NBSAPs will not be implemented in practice due to inadequate funding. It presents the conventional biodiversity funding mechanisms, 12 innovative financial mechanisms that could be used to finance NBSAPs, and sets out the steps in developing a financial strategy for financing NBSAP implementation.

IUCN RBP Asia. Resource Kit for Biodiversity Planners and Guide to Biodiversity Services (CD ROM).

IUCN RBP Asia. Biosafety Resource Kit: Information Pack for Planners and Practitioners of Biosafety (CD ROM).

IUCN / UNEP. (no date). Regional support for environmentally sound and socially equitable LULUCF activities under the CDM. 6pp.

Description of support to developing countries, via workshops and toolkits, to develop principles to guide the design and implementation of economically viable and environmentally sustainable land use, land use change and forestry (LULUCF) activities.

IUCN SSC. 2000. Biodiversity indicators workshop, May 2000, Long Island, NY. 33pp.

Report of a workshop population biologists and biomathematicians to agree on a set of indicators for the Red List Programme over the next four years. The workshop identified the characteristics of a good indicator, target audiences with different needs, documentation requirements for the Red List. Six types of indices were suggested:

1. Biodiversity status index, measuring the status of the world's biodiversity
2. Biodiversity knowledge index, measuring how much is known about the extinction risk
3. Biodiversity trend index (difficult to measure for a variety of reasons including natural population fluctuations)
4. Cause of threat index, based on a standardised list of causal threats
5. Conservation action index, measuring the extent to which conservation actions are in place for a given species, and
6. Spatial indices.

Martinet, C. 2000. Global Biodiversity Programme Phase III Workplan and Indicative Budget: 2000-2002. 7pp.

McNeely, J.A. 2000. What the biodiversity conventions mean for IUCN. *World Conservation 1/2000*: 4-5.

The paper argues that the expenditure of public funds will influence both the private sector and the behaviour of individuals, and so this should be IUCN's strategic target – international conventions enable governments to decide their priorities and the issues most deserving of financial support.

McNeely, J.A. (ed.). 2001. *The Great Reshuffling: Human Dimensions of Invasive Alien Species*. IUCN, Gland, Switzerland and Cambridge, UK. 242pp.

This is a collection of papers presented at a Global Invasive Species Programme workshop on the human dimensions of invasive alien species (IAS). As the problem of IAS is above all a human one, effective responses must address the human dimension “root causes” that are explored in this book, e.g., trade, economic motivations, ethical concerns, human health, cultural and psychological considerations, etc.

McNeely, J.A. 2001. *Conservation and the Future*. Nijmegen University Press, Nijmegen, the Netherlands. 71pp.

An insightful review paper, looking to the year 2025, that projects changes in population, consumption, cultural diversity, national security, climate, pollution, economics, institutions, technology, information, and biodiversity. Most of these themes are briefly examined from the viewpoints of both the pessimists (the “neo-Malthusians”) and the optimists (the “cornucopians”).

McNeely, J.A. 2002. Biodiversity, sustainable agriculture, and food security in developing countries. In Holst, Jakob Lau (ed.). *Closing the Gap: North-South Views on a Reform of European Common*

*Agricultural Policy and the Need for a New Global Deal*. Danish Society for the Conservation of Nature and DANCED, Copenhagen. pp 93-98.

This paper looks at the relationship between agriculture, biodiversity and rural poverty, and describes six key strategies for enhancing wild biodiversity through eco-agriculture. It argues that reform of Europe's Common Agricultural Policy should focus on building sustainable agriculture in Europe, conserving biodiversity, and addressing food security and poverty-alleviation in developing countries.

McNeely, J.A. , Mooney, H.A., L Neville, E., Schei, P. & Wagge, J.K. (eds.). 2001. *A Global Strategy on Invasive Alien Species*. IUCN, Gland, Switzerland. 50pp.

This global strategy, aimed at decision- and policy-makers, presents ten strategic responses to address the threats from IAS. It is a major output of Phase I of the Global Invasive Species Programme.

McNeely, J.A. & Scherr, S.J. 2001. *Common Ground, Common Future: How Ecoagriculture can Help Feed the World and Save Wild Biodiversity*. Future Harvest and IUCN, Washington D.C. 24pp.

This report is a summary of the full study to be published in 2002. It presents a number of farming innovations from around the world that demonstrate how ecoagriculture can be productive and profitable while protecting and enhancing biodiversity.

McNeely, J.A. & Vorhies, F. 2000. Economics and Conserving Forest Genetic Diversity. In Young, Andrew and Tim Boyle (eds.). *Forest Conservation Genetics: Principles and Practice*: 253-262. CSIRO, Canberra, Australia.

The paper presents basic economic concepts as they relate to biodiversity in general and to forest genetic diversity in particular, and argues that conservation biologists need to consider resource valuation, and the use of incentives, charges and other market instruments to mobilise political and economic support for conserving genetic diversity.

Saint-Laurent, C., Sanchez-Navarro, P., Maginnis, S. and Chouchena-Rojas, M. 2002. Forest biological diversity. IUCN / WWF recommendations to CBD COP6. 8pp.

This paper calls on the COP to move from a research focus to practical action, and discusses the ecosystem approach, protected area networks, forest landscape restoration, mitigating the impacts of climate change and forest fires, and sustainable use of forest biodiversity.

Stolton, S., Geier, B. & McNeely, J.A. (eds.). 2000. *The Relationship Between Nature Conservation, Biodiversity and Organic Agriculture*. IFOAM, Berlin. 224pp.

Proceedings of an international workshop in which IUCN and the International Federation of Organic Agricultural Movements (IFOAM) drew up a joint declaration and action plan that recognises the role of organic agriculture in conserving biodiversity, and suggests a number of policy options for achieving this. The papers in the book provide a variety of examples showing how organic agriculture can enhance biodiversity conservation.

Strahm, W. and Chouchena-Rojas, M. 2002. Global strategy for plant conservation. IUCN recommendations to CBD COP6. 4pp.

A focused message urging the COP to adopt the Global Plant Conservation Strategy containing 16 outcome-oriented targets, as proposed by SBSTTA7.

Turner, S. and Gawler, M. 2002. Joint review of the IUCN Global Biodiversity Programme, Phase III: Inception report. SDC and IUCN. 28pp.

IUCN. (in press) *Invasores in Mesoamérica y el Caribe*. ORMA, San José, Costa Rica. 50pp.

Wiseman, R. 2002. Scoping of agriculture and biodiversity: a summary of IUCN's work and views on agriculture. Draft. IUCN European Regional Office. 51pp.



This draft report provides a background paper on agriculture and biodiversity and an analysis of an opinion survey sent to IUCN Commissions, Global Programmes and Regional Offices on the importance of addressing agriculture in IUCN's Programme. All responding IUCN offices agreed that agriculture is either a very important or an important issue for IUCN to address. This is not surprising as agriculture is the biggest user of land in the world. The report finds, however, that the level of IUCN projects addressing agriculture does not match the value placed on addressing these issues.

Young, T. and Chouchena-Rojas, M. 2002a. Access and benefit-sharing as related to genetic resources. IUCN recommendations to CBD COP6. 6pp.

This paper explains gaps in present legal frameworks for access and benefit-sharing (A/BS) systems to function over the long term, provides recommendations to both the COP and CBD Parties to strengthen the legal basis for A/BS contracts, and discusses some of the key issues for making A/BS operational (taxonomic research, NBSAPs, market information, food security, etc.).

Young, T. and Chouchena-Rojas, M. 2002b. Strategic plan, national reporting and operations of the Convention. IUCN recommendations to CBD COP6. 4pp.

This document is intended to help the CBD make the move from policy formulation to implementation. IUCN recommends a meta-plan for maximising the effectiveness of the CBD's work, which would include: the initial strategic plan identifying actions, outputs and priorities; a mechanism by which new decisions are integrated into the plan and priority system; and a basis for evaluation.

#### **Other Documents:**

Davies, R. 2001. A review of NGO approaches to the evaluation of advocacy work. DfID, Cambridge, UK. 71pp.

Guveya, E., Kachote, F., Kokwe, M. and Prescott-Allen, R. 2000. *A System of Assessment in Zimuto Communal Lands, Zimbabwe*. IUCN ROSA, Harare, Zimbabwe. 53pp.

IUCN. 1999a. Self Assessment and Cross-Assessment Reports of the Internal Project Review: Supporting Global Action to Conserve Biodiversity and Sustainably Use Biological Resources: Phase II.

IUCN. 1999b (?\*) Supporting Global Action to Conserve Biodiversity and Sustainably Use Biological Resources: Phase III. Project document to SDC. IUCN, Gland, Switzerland. 18pp.

\*(our copy has no title page)

IUCN. 2001a. *Stepping into the New Millennium: IUCN's Intersessional Programme*. Adopted at the WCC, Amman, Jordan, October 2000. IUCN, Gland, Switzerland. 81pp.

IUCN. 2001e. The IUCN evaluation policy. IUCN M&E Unit. 12pp.

IUCN. 2001f. Climate change and species survival: implications for conservation strategies. 35pp.

IUCN. 2002a. *IUCN 2001. Global Programme: Progress and Assessment Report*. IUCN, Gland, Switzerland. 60pp.

IUCN. 2002b. IUCN Programme Management Handbook: Evaluation Section. Draft for review by M&E staff and Programme Coordinators. 28pp.

IUCN. 2002c. IUCN internal briefing for CBD COP6. 6+6pp.

Prescott-Allen, R. 1998. *Manual on Biodiversity Assessment*. IUCN, Gland, Switzerland. 43+pp.

Salafsky, N. and Margoulis, R. 1999. *Greater than the Sum of Their Parts: Designing Conservation and Development Programs to Maximise Results and Learning*. Biodiversity Support Program, Washington, DC, USA. 29pp.

## **Annex 8. Profile of the evaluation team**

### **Stephen Turner**

Stephen Turner works for the Centre for International Cooperation at the Vrije Universiteit Amsterdam. After training as a geographer at the Universities of Cambridge and London, he has worked as an applied social scientist on a wide range of environmental, agricultural/rural development and natural resource management issues, focusing on southern Africa. His experience covers policy work, project planning, monitoring and evaluation, resettlement projects, soil and water conservation, (community based) natural resource management, land reform, teaching and training, applied research planning and management, rural surveys and other field work, and data management.

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### **Meg Gawler**

Meg Gawler is the Founding Director of *ARTEMIS Services – for Nature Conservation and Human Development*, a consulting firm specifically for the conservation and development sector, specialising in evaluations, strategic planning, project and programme design, workshop facilitation, training, report preparation, photography, etc. Originally a plankton ecologist, Meg has done scientific research in both coastal and freshwater ecosystems. A dual national (American & French), she worked for over ten years in the Africa & Madagascar Programme of WWF International, and was active in fostering a culture of learning, strategic planning, and monitoring and evaluation. Meg holds a BSc in Conservation of Natural Resources, and an MSc in Applied Ecology, both from the University of California at Berkeley.

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