IUCN
GLOBAL PROGRAMME TEAM
FOREST CONSERVATION PROGRAMME

FOREST CONSERVATION PROGRAMME
REVIEW REPORT
ANNEXES

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OCTOBER 2007

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ANNEX 1

Programmatic Review of IUCN's Forest Activities, with particular reference to the Forest Conservation Programme (21 December 2006)

TERMS OF REFERENCE

Context and Rationale

As part of the evaluation system set out in the IUCN Evaluation Policy, IUCN undertakes a series of strategic reviews organizational units and thematic programmes on a regular basis. These reviews typically assess a range of key performance criteria, including relevance, effectiveness, efficiency, impact and sustainability of an IUCN organizational unit (Global Thematic Programme, Regional, Outposted or Country Office) and cover the unit's Programme, Strategies and Operations.

The IUCN's Forest Activities has been included in the 2007 strategic review cycle at the request of the Head of the Forest Conservation Programme for the broad purpose of learning from recent experience in delivering a set of forest activities, both globally and in the regions, in terms of programme focus and delivery as well as the organizational model supporting that programme delivery. IUCN will soon start implementing the Landscapes and Livelihoods Initiative and this programmatic review is intended to support the successful implementation of that Initiative.

Background on IUCN's Forest Activities

The IUCN Forest Conservation Programme (FCP) is one of IUCN's global thematic programmes and sits at the hub of IUCN's Forest Activities. FCP maintains a global secretariat in IUCN-HQ as well as a network of Forest Team members in eight of IUCN's regional and country offices who work with Members and partners to deliver IUCN's Forest Activities. The terms Forest Activities and Forest Team are taken to represent the scope of IUCN's forest work globally and the personnel delivering that work, respectively.

The goal of the Forest Conservation Programme is to maintain and, where necessary, restore forest ecosystems to promote conservation, sustainable management and an equitable distribution of the full range of forest goods and services.

The long-term objectives of the Programme as originally developed in the IUCN/WWF Forests for Life Policy in 1996 and then reaffirmed at the 2nd World Conservation Congress in Amman in 2000 are:

- Establishing a network of ecologically representative, socially beneficial and effectively managed forest protected areas;
- Achieving environmentally appropriate, socially beneficial and economically viable management of forests outside protected areas;
- Developing and implementing environmentally appropriate and socially beneficial programmes to restore deforested and degraded forest landscapes;
- Protecting forests from pollution and global warming by reducing polluting emissions and managing forests for resilience to climate change; and
- Ensuring that political and commercial decisions taken in other sectors safeguard forest resources and result in a fair distribution of associated costs and benefits.

The development of the IUCN/WWF Forests for Life Policy coincided with the early development of the IUCN Programme 2001-2004 and the IUCN strategies: Knowledge, Empowerment and Governance.

Purpose and Objectives of the Programmatic Review

The main purpose of this review is to learn from the recent experience of delivering IUCN's Forest Activities and identify factors that will improve this work. This review intends to address all aspects of IUCN's Forest Activities from this and the previous Intersessional Periods and will seek to place the history and evolution of Forest Team in proper context since its inception.

The specific objectives of the review are:

1. To assess the programmatic direction of IUCN's Forest Activities in the context of global and regional trends and priorities and approaches to forest conservation;
2. To assess the relevance and where possible outcomes or impact of IUCN's forest activities.
3. To assess the viability, effectiveness and efficiency of the organizational structures that deliver IUCN's Forest Activities, including the Forest Conservation Programme and the extended network of Forest Team.
4. To contextualize the experience of IUCN's Forest Activities in the wider experience of IUCN's Regionalization and Decentralization.
5. Based on the above, to develop conclusions and recommendations (including where appropriate, options and scenarios) to guide the future of forest work at IUCN.

These objectives are elaborated further in the evaluation matrix (below).

Intended Users and Uses of the Review

The review has been commissioned for the purpose of learning and improvement by the Forest Conservation Programme and the wider Forest Team, in particular the Head of the Forest Conservation Programme.

The review is expected to generate findings, recommendations and lessons in a more broad context, particularly on IUCN global thematic programmes and regionalization and decentralization issues, and as such, the results of the review are expected to be useful to the Director Global Programme and Heads of Global Thematic Programmes.

Qualifications of the Review Team

The review team will be comprised of one senior evaluation specialist, one senior technical specialist on forest conservation external to IUCN and one representative from within IUCN.

The senior evaluation specialist will lead the review process and is expected to possess sufficient independence from the Forest Conservation Programme and Forest Team and the following:

- At least ten years experience leading and conducting evaluations;
- The demonstrated ability to review programme focus, relevance, effectiveness and efficiency, delivery of outcomes, organizational structures and management, and networks;
- Experience in reviewing conservation programmes, and in this case, preferably some experience in addressing the role of forest conservation in the wider practice of conservation and sustainable development;
- The ability to lead and mentor a young professional from IUCN through the evaluation process;

- Ability to communicate orally and in writing in English.

The senior technical specialist will primarily address Objective 1, placing the programmatic direction of IUCN's forest activities in the context of

The young professional from IUCN should possess the following:

- A professional position within IUCN;
- Experience in social survey design, administration and analysis;
- Experience in preparing interview protocols, conducting interviews and quantitative and qualitative data analysis;
- Ability to communicate orally and in writing in English.

Both candidates are requested to file a CV and example of written work to Global Programme Team and the Forest Conservation Programme. The example of written work of the senior evaluation specialist should be an example of a recently conducted evaluation which the senior evaluation specialist led.

Methodology

To address the key objectives and answer the major questions of the review, the review team will collect quantitative and qualitative data from key stakeholders of the Forest Conservation Programme and Forest Team, IUCN staff at HQ and in the regions, partners, donors and users of the products and services delivered in the context of IUCN's Forest Activities.

Data collection instruments will include documentation analysis, semi-structured interviews with key stakeholders, to reach a representative sample of all stakeholder groups. It is the responsibility of the review team to design data collection instruments.

Schedule

To be determined , most probably March-June 2007

Outputs and Deliverables

The Review process will deliver the following outputs:

1. An **evaluation workplan**, including a final evaluation matrix of questions, indicators, data sources and methods, a schedule of activities and all interview protocols or questionnaires (responsibility – review team).

2. **Detailed Review report** containing evidence based findings and recommendations addressing each of the objectives and questions of the review, with analysis to support findings and recommendations (responsibility – review team). The Review report should contain data analysis annexes as required.

3. **Management Response and Action Plan** to implement the (agreed) recommendations of the review (responsibility – Forest Conservation Programme and Forest Team)

Dates are to be negotiated for deliverables, but ideally according to the Schedule (above).

Management and Conduct of the Review

The following groups or individuals have specific responsibilities in the conduct and management of this review:

- The **Review Team Leader** is responsible for the conduct of the review, methodological design, data collection and reporting; as well as supervising and ensuring high quality inputs from other review team members.
- The **Forest Conservation Programme** (HQ) is responsible for facilitating the review, particularly ensuring access to data and stakeholders and will be expected to devote considerable time after the review to form a management response and implement a change management strategy based on the management response. FCP is also responsible for administering all contracts and where necessary, logistics, associated with this review.
- Global Programme Team, in particular the **Adviser Planning and Evaluation** will be responsible for developing this TORs, assisting where appropriate in the design and implementation of this review and facilitating the development of the management response and change management plan with FCP. The Adviser also has primary responsibility for ensuring that review report and process on conforms with the IUCN Evaluation Policy and ensuring use and communication of this review with Senior Management.

Review Budget

Provisionally, the review is expected to cost between CHF 40'000 and CHF 45'000, assuming a level of effort of approximately 40 days on the part of the senior evaluation specialist, and ten days on the part of the senior technical specialist. Travel costs would include two weeks on-site at IUCN-HQ and one week in Asia Region.

The final budget will be set only after discussion with the Senior Evaluation Specialist and the Senior Technical Specialist.

ANNEX 2

IUCN - Programmatic Review of IUCN Forest Activities, with particular reference to the Forest Conservation Programme

EVALUATION MATRIX

Initial Note

In the following matrix the different names are used as follows

- *Forest Conservation Programme refers mostly to the IUCN HQ based staff*
- *Regional Forest units refers to the units with different names that deal with forest conservation issues at regional, country and project levels*
- *Forest Team refers to the entire set of IUCN different units dealing with forest conservation issues at all levels (global, regional country and projects)*
- *Forest activities refers to the activities of the Forest team*

Evaluation Issues	Questions	Sub-questions	Indicators	Data sources and analysis methods
Objective 1: To assess the programmatic direction of IUCN Forest Activities in the context of global and regional trends and priorities and approaches to forest conservation;				
Programmatic Direction and Leadership	How adequate is the direction of the Forest Conservation Programme in relation to the global trends, priorities and approaches to forest conservation?	To what extent does the forest work of IUCN reflect the priorities for forest conservation globally?	Level of congruence between the IUCN Forest Activities and the global forestry framework Evolution (changes) in the issues and priorities addressed by the IUCN Forest Team over the last decade (WCC 1, 2 & 3)	Data: Plans and Programmes of world leading institutions (CIFOR, IUFRO, other). IUCN Forest Conservation Programme and Plans since WCC1 (Montreal, 1996) Comparative analysis– forest programme plans with global framework
		Is IUCN a leader in terms of forest programming in the context of global priorities?	Participation of IUCN Forest Conservation Programme in the events and processes that set the global direction of forest activities (global positions, paradigm shifts, etc).	Data: Key events and processes over the last decade that set the global direction of forest activities. Participation of IUCN in these events and processes Analysis of IUCN participation. In principle just the fact of being invited and participating in these processes should be considered enough to answer the question positively.

	How adequate is the direction of the Forest Team in relation to the different regional trends, priorities and approaches to forest conservation?	To what extent does the forest work of IUCN reflect the priorities for forest conservation in selected regions of Asia, Africa and Latin America served by IUCN Regional Offices?	Level of congruence between the IUCN Forest Activities and the regional frameworks in selected regions of Asia, Africa and Latin America served by IUCN Regional Offices Evolution (changes) in the issues and priorities addressed by the IUCN Forest Team over the last decade (WCC 1, 2 & 3)	Data: Plans and Programmes of regional leading institutions in selected regions of Asia, Africa and Latin America served by IUCN Regional Offices, IUCN Regional Forest units Programmes and Plans since WCC 1 (Montreal, 1996) Comparative analysis– regional forest programmes and plans with regional frameworks
		Is IUCN a leader in terms of forest programming in the context of regional priorities?	Participation of IUCN Regional Forest units in the events and processes that set the regional direction of forest activities (regional positions, regional priorities, etc).	Data: Key events and processes over the last decade that set the regional direction of forest activities. Participation of IUCN in these regional events and processes Analysis of IUCN participation. In principle just the fact of being invited and participating in these processes should be considered enough to answer the question positively.
	To what extent does the approach used by IUCN has created positive outcomes and impacts on forest conservation?	What are the positive outcomes and impacts of IUCN in forest conservation?	Level achieved by IUCN in transforming its conceptual approaches in strategies and operational programmes and achieving impacts and results from their operation?	Data: Outcomes and impacts achieved by IUCN Forest Team at all levels. Objectives and expected results of IUCN Programmes and Projects on forest conservation Analysis of the capacity of the IUCN Forest Team to move along the gradient: concepts -> plans and projects -> outcomes and impacts
		Is IUCN a leader in terms of how forest outcomes and impacts are planned and delivered?	Extent to what IUCN ideas and experiences were taken by other organizations active in forest conservation	Data: plans and programmes of organizations influenced by IUCN about forest conservation Analysis of the influence of IUCN ideas and experiences on other organizations at any level

Evaluation Issues	Questions	Sub-questions	Indicators	Data sources and analysis methods
Objective 2: To assess the relevance (and where possible outcomes or impact) of IUCN forest activities.				
Relevance to global forestry trends and stakeholders	To what extent are IUCN Forest Activities relevant?	To what extent is the programmatic focus of IUCN's Forest Activities relevant to the wider practice of forest conservation and sustainable development	Congruence between the prioritized issues addressed in the programmatic frameworks (global and regional) with the actual global and regional activities undertaken	Data: Document review and/or stakeholder interviews Analysis of congruence
		To what extent are the products and services delivered by Forest Team relevant to its stakeholders in terms of their forest conservation priorities	Congruence between IUCN products and services and stakeholders priorities Degree of stakeholders satisfaction in terms of relevance, timeliness and usefulness	Data: Stakeholders list (global and regional) and their priorities. Electronic user survey and/or stakeholder interviews Analysis of survey and interviews
Outcomes and Impacts	What outcomes or impacts has Forest Team delivered through its activities?	What outcomes or impacts have been delivered in the field?	List of Projects and their key outcomes and impacts since WCC 2 (Amman)	Data: Document reviews, Project evaluation documents, and/or stakeholder interviews. Evidence of delivery in the field The results generated at this point are basically inputs for later questions, as well as examples of actual achievements
		What outcomes or impacts have been delivered in policy forums?	List of key policy outcomes and impacts at global and regional level since WCC2 (Amman)	Data: Document reviews, Programme evaluation documents, and/or stakeholder interviews. Evidence of delivery in the field The results generated at this point are basically inputs for later questions, as well as examples of actual achievements
		To what extent are stakeholders satisfied with the outcomes and impacts delivered?	Congruence between IUCN impacts and outcomes achieved by IUCN and stakeholders priorities Degree of stakeholders satisfaction in terms of relevance, timeliness and usefulness	Data: Stakeholder interviews Congruence analysis

Evaluation Issues	Questions	Sub-questions	Indicators	Data sources and analysis methods
Objective 3: To assess the viability, effectiveness and efficiency of the organizational structures that deliver IUCN Forest Activities, including the Forest Conservation Programme and the extended network of the Forest Team.				
Effectiveness	How effective were the different components of the Forest teams in delivering according the their plans?	What was the performance of the Forest Team to achieve what was planned?	Congruence between planned and achieved over the last two Intersessional Programmes (since WCC2 Amman)	Data: Annual Workplans and Annual Reports Effectiveness analysis
	To what extent does the organizational structure of Forest Team facilitate or impede delivery of outputs and outcomes?	To what extent does the organizational structure of Forest Team facilitate or impede the delivery of outputs and outcomes in the field?	Evidence of impediments or facilitating factors	Data: organizational structure and stakeholder interviews Analysis of pertinence and relevance of influencing factors
		To what extent does the organizational structure of Forest Team facilitate or impede the delivery of outputs and outcomes in policy forums?	Evidence of impediments or facilitating factors	Data: organizational structure and stakeholder interviews Analysis of pertinence and relevance of influencing factors
	To what extent are specialist functions adequately and effectively supported by Forest Team at different levels (HQ, regional, country)?	To what extent is project management adequately and effectively supported by Forest Team	Performance in 3 key areas of sound project management: • effective and timely delivery of agreed products, • complete and timely budget expenditure, • adequate operation of the monitoring, reporting and communications processes	Data: procedures, project management systems and stakeholder interviews Effectiveness analysis (is the expected performance achieved?)
		To what extent is the external communications function adequately and effectively supported by Forest Team	Performance in 3 key areas of effective external communications: • use of clear and effective procedures, • generation of communication products, • actual media used for, and reach of, the dissemination/exchange activities.	Data: procedures, communication products (i.e. paper and web) and stakeholder interviews Effectiveness analysis
		To what extent is the finance function adequately and effectively supported by Forest Team	Performance in 3 key areas of finance: • use of clear and effective procedures, • overall financial management (effective delivery, occurrence and management of positive and negative balances) • fund raising and overall budget evolution	Data: procedures, finance system and stakeholder interviews Effectiveness analysis

Evaluation Issues	Questions	Sub-questions	Indicators	Data sources and analysis methods
Effectiveness (cont)	To what extent are specialist functions adequately and effectively supported by Forest Team? (cont)	To what extent is the knowledge management function adequately and effectively supported by Forest Team	Performance in 4 key areas of knowledge management:: • use of clear and effective procedures, • effective and efficient circulation of information within the Forest team • adequate organization and filing of information • easy access	Data: procedures, knowledge management mechanisms, stakeholder interviews. Effectiveness analysis
	To what extent do the networking functions of Forest Team adequately and effectively help deliver the Forest Activities	To what extent is the day-to-day networking functions adequately and effectively managed?	Performance in 3 key areas of networking: • list of persons in active external networking (meeting once a month or more) • list of persons in active internal networking • evidence of actual use of the information and opportunities obtained from networking	Data: Stakeholder interviews Effectiveness analysis
		To what extent are special meetings of the Forest Team (i.e. FCAG and other Team meetings) effectively designed and managed?	Performance on 4 key areas: • relevance of agendas, • efficiency in the management of sessions, • generation of clear results and • effective follow-up	Data: Document review and stakeholder interviews Effectiveness analysis
	To what extent is Forest Team effectively led and managed	To what extent does the FCP Head provide effective leadership?	Performance on the 4 key strategic leadership areas: • effective staff guidance and motivation, • strategic planning, • niche management and • administration	Data: Document review and stakeholder interviews Effectiveness analysis
		To what extent is the FCP Head effective in the area of team-building?	Performance in 4 key team-building areas: • internal communications, • effective participation, • accountability and • transparency	Data: stakeholder interviews Effectiveness analysis

Efficiency	To what extent does the organizational model of Forest Team efficiently deliver the Forest Activities?	How well the planning-monitoring-reporting cycle is working across the entire system?	Clear operation and functionality of the planning system Clear operation and functionality of the implementing system Clear operation and functionality of the monitoring and reporting system Strength of the operational links among the above listed systems Functionality of the control systems Functionality and links of the decision-making, funding and budgeting systems	Data: established procedures and systems. Document review. Interviews. Efficiency analysis (can the same things be done using less resources (time, money)?
		What are the attributes of Forest Team that enhance or impede efficiency of delivery?	Adaptation of the Forest Team operations to the potential and constraints posed by the operation of the systems listed in the previous question	Stakeholder interviews, observation, analysis from above
Effectiveness and Efficiency	Based on the above, what gaps or impediments should Forest Team seek to address?	NOT APPLY	This is a set of recommendations	Recommendations based on analysis of data from above, perceptions from involved staff and evaluators experience and judgement.

Evaluation Issues	Questions	Sub-questions	Indicators	Data sources and analysis methods
Objective 4: To contextualize the experience of IUCN Forest Activities in the wider experience of IUCN Regionalization and Decentralization.				
Regionalization and Decentralization	To what extent is the experience of the Forest Team typical or atypical of IUCN's experience in Regionalization and Decentralization?	What findings of the Regionalization and Decentralization Review are consistent with the findings of this review and the experience of the Forest Team and why?	Congruence between findings of both Reviews plus from reviews of other Programmes (if available)	Data: documents review, stakeholder interviews, particularly with Director Global Programme and former Programme Heads Comparison of the recent history of Forest Team with the results of the Regionalization and Decentralization Review
		What findings of the Regionalization and Decentralization Review are not consistent with the findings of this review and the experience of the Forest Team and why?	Congruence between findings of both Reviews plus from reviews of other Programmes (if available)	Same
		How these consistencies and inconsistencies are affecting positively and negatively the performance of the Forest Team?	Clearly identifiable influences on the different systems and cycles analyzed under Objective 3	Staff interviews Analysis of pertinence and relevance of influencing factors
		Is the Forest Team experience consistent with that of other similar IUCN Programmes? Why?	Congruence between Forest Team experiences and other Programme experiences	Other IUCN Programmes staff interviews (Water and wetlands) Congruence analysis
	What lessons can Forest Team take from the Regionalization and Decentralization process to apply to their context?	NOT APPLY	This is a set of recommendations	Recommendations based on analysis of data from above, perceptions from involved staff (particularly with Director Global Programme and former Programme Heads) and evaluators experience and judgement..

ANNEX 3

LIST OF DOCUMENTS REVIEWED

The following list includes a selection of the key documents reviewed during the Forest Conservation Programme Review. The list is not exhaustive.

1. INGLES, A.; BARROW, E.: SAINT-LAURENT, C. 2007. Strengthening Voices for Better Choices (SVBC) Project. Internal Technical Review (DRAFT Report). 46 p. + Annexes

2. IUCN. 2007. Por un futuro Mejor. Opciones para el cambio organizativo dentro de la Secretaría descentralizada de la Unión Mundial para la Naturaleza. Informe de la Fase II del estudio de Regionalización y Descentralización. 28 p.

3. IUCN; UNILEVER; FORESTRY RESEARCH INSTITUTE OF GHANA (FORIG), INSTITUTE OF CULTURAL AFFAIRS (ICA); TECHNOSERVE (TNS). 2006. Allanblackia; standard setting and sustainable supply chain management. Project Document. 40 p.

4. IUCN FOREST CONSERVATION PROGRAMME. 2006. Livelihoods & Landscapes. A leverage programme to catalyse the sustainable use and conservation of forest biodiversity and ecosystem services for the benefit of the rural poor. Executive Summary. IUCN, 16 p

5. IUCN FOREST CONSERVATION PROGRAMME. 2006. Livelihoods & Landscapes. A leverage programme to catalyse the sustainable use and conservation of forest biodiversity and ecosystem services for the benefit of the rural poor. Part I. Strategic Overview. IUCN, 70 p

6. IUCN FOREST CONSERVATION PROGRAMME. 2006. Livelihoods & Landscapes. A leverage programme to catalyse the sustainable use and conservation of forest biodiversity and ecosystem services for the benefit of the rural poor. Part II. Operational Components.. IUCN, 119 p

7. IUCN FOREST CONSERVATION PROGRAMME. 2006. FCP Progress and Assessment Report 2006. IUCN, 8 p

8. IUCN FOREST CONSERVATION PROGRAMME. 2005. FCP Progress and Assessment Report 2005. IUCN, 9 p

9. IUCN FOREST CONSERVATION PROGRAMME. 2003. IUCN Forest Conservation Programme. Component Programme Plan for 2005-2008 Intersessional Period. IUCN, 31 p

10. IUCN GLOBAL PROGRAMME. 2006. An assessment of progress by IUCN. IUCN, 43 p

11. IUCN MONITORING AND EVALUATION INITIATIVE. Managing evaluations in IUCN: A guide for IUCN Programme and Project Managers. IUCN, 73 p

12. LUSTHAUS, C.; ADRIEN, M.H.; ANDERSON, G.; CARDEN, F.; MONTALVAN, G. Organizational Assesment: A framework for Improving Performance. Inter-American Development Bank (IADB) and International Development Research Centre (IDRC). 121 p

13. MARTON-LEFEVRE, J. 2007. STRENGTHENING IUCN. Decisions and Recommendations on Organizational Change. IUCN, 22 P.

14. MOISEEV, A. 2005. Internal Review of the Asia Regional Forest Programme. IUCN. 45 p.

15. OFIR, Z. 2005. Review of IUCN'S influence on policy. Phase I: Describing The Policy Work of IUCN. IUCN, 131 p.

16. OFIR, Z.; MAC PHERSON,N. 2006. Methodology for tracking the knowledge products of IUCN. IUCN, 22 p.

17. WILSON, A. 2006. A Brief History of the Regionalization and Decentralization of IUCN 1980 – 2006. IUCN, 22 p.

ANNEX 4

LIST OF INTERVIEWED PERSONS

1. IUCN HEADQUARTERS

FCP

1. Earl Saxon
2. Elizabeth Schmidt
3. Jeff Sayer
4. Maria Hasler
5. Mette Bovenschulte
6. Nils Hager
7. Sizakele Noko
8. Stephen Kelleher
9. Stewart Maginnis
10. Virpi Stucki

IUCN HQ STAFF

1. Bill Jackson
2. David Sheppard
3. Diego Ruiz
4. Enrique Lahmann
5. Ger Bergkamp
6. Hans Friederich
7. Jean Yves Pirot
8. Jeff McNeely
9. Linne Hempel
10. Martha Chouchena Rojas
11. Nancy MacPherson
12. Simon Rietbergen

2. IUCN REGIONAL STAFF

1. Aban M. Kabraji (ARO Regional Director)
2. Alberto Salas (ORMA)
3. Alice Kaudia (EARO Regional Director)
4. Andrew Ingalls (ARO)
5. Consuelo Espinosa (SUR)
6. Edmund Barrow (EARO)
7. Geoffrey Howard (EARO)
8. Grettel Aguilar (ORMA Regional Director)
9. Kelly West (EARO)
10. Luiz Paulo Ferraz SUR)
11. Nikhat Sattar (ARO)
12. Pascal Girot (ORMA)
13. Patricia Moore (ARO)
14. Ranjith Mahindapala (ARO)
15. Rocío Córdoba (ORMA)

16. T.P.Singh (ARO)
17. Udaya Kaluaratchi (ARO)
18. Zakir Hussain (ARO)
19. Martin Nganje (ROWA)
20. Cleto Ndikumagenge (ROCA- Central Africa)
21. Marta Monjane (ROSA)
22. Yassin S (EARO)

3. PARTNERS, MEMBERS, COMMISIONS, OTHER PERSONS

1. Florence Chege- CABI Africa
2. Mariano Giménez-Dixon (Consultant, Switzerland)
3. Néstor Windevoxhel (CEM, Mesoamerica)
4. Mine Pabari (Consultant, Eastern Africa)
5. Kamau Kimani (CIMMYT- East Africa)
6. Isaac Moussa (ANNCB- Congo
7. Charles Meshack- TFCG- Tanzania
8. Hadija Ramadhan- FBKD- Tanzania
9. Violet Matiru (Environmental Liaison Centre Internacional)

ANNEX 5

Programmatic Review of IUCN's Forest Activities with Particular Reference to the Forest Conservation Programme (FCP)

REPORT ON FPC STRATEGIC DIRECTION

Introduction:
Background, Objectives and Scope

This section of the report is intended to examine the programmatic directions and leadership of FCP in relation to global trends, priorities and approaches to forest conservation. It starts by reviewing the evolution of FCP and the changing priorities; then outlines briefly mandates and activities of other major players in the fields relevant to forest conservation with a view to consider the global paradigm shift. Finally, the congruence between FCT activities both globally and regionally and the global forestry framework is examined, leading to evaluating the programmatic directions of IUCN/FCP global relevance. Attempts were made to identify gaps in the present PCF and /or missed opportunities.

The IUCN's Forest Activities have been included in the 2007 strategic review cycle for the purpose of learning from recent experience in delivering a set of forest activities, both globally and in the regions, in terms of program focus and delivery as well as the organizational model supporting that program delivery. According to the ToR, IUCN is implementing the Landscapes and Livelihoods Initiative and this programmatic review is intended to support the successful implementation of that Initiative. The main purpose of this part of the review is to learn from the recent experience of delivering IUCN's forest activities and identify factors that will improve this work. This review is meant to address all aspects of IUCN's forest activities from the current and previous intercessional periods and will seek to place the history and the evolution of global trends in forestry in proper context since the inception of FCP.
The specific objectives of this part of the review are to assess the programmatic direction of IUCN's forest activities in the context of global and regional themes, priorities and approaches to forest conservation; and to assess the relevance and where possible outcomes or impact of IUCN's forest activities. Attempts are made to answer three questions as given in the Evaluation Matrix annexed to the ToR:
1) To what extent does the forest work of the IUCN reflect the priorities for the forest conservation globally?
2) Does the forest work of IUCN reflect the priorities for forest conservation in specific regions? and
3) To what extent does the approach IUCN have been used to create positive outcomes and impact on forest conservation?
The Review will partially address the second objective of the overall evaluation of the review (Relevance) by answering the question: to what extent are the IUCN forest activities relevant to global and regional priorities?. In other words, this section of the review is mainly about the interface of IUCN's forestry work with the global and regional agendas.

Evolution of IUCN Forest Conservation Programme in response to global challenges

The fundamental goal of the Forest Conservation Programme is to maintain and, where necessary, restore forest ecosystems to promote conservation, sustainable management and equitable distribution of the full range of forest goods and services.

The long term objectives of the program as originally developed as part of the IUCN/WWF/Forest for Life Policy in 1996 and then reaffirmed in the Second World Conservation Congress in Amman in 2000 are:

- Establishing a network of ecologically representative, socially beneficial and effectively managed forest protected areas;

- Achieving environmentally appropriate, socially beneficial and economically viable management of forests outside protected areas;
- Developing and implementing environmentally appropriate and socially beneficial programs to restore deforested and degraded forest landscapes;
- Protecting forests from pollution and global warming by reducing polluting emissions and managing forests for resilience to climate change; and
- Ensuring that political and commercial decision-taking in other sectors safeguard forest resources and result in a fair distribution of associated costs and benefits.

The development of the IUCN/WWF/Forest for Life Policy coincided with the early development of the IUCN Program in 2001-2004 and the IUCN Strategies: Knowledge, Empowerment and Governments. The Forest For Life Strategy was also a philosophical statement on how the world's forests are to be conserved, not only through protection, but also through sustainable use and restoration. The objectives were reaffirmed again. For the purpose of articulating its medium-term aims and objectives FCP, like other IUCN component programs, follows the IUCN Intercessional Program by producing framework planning documents developed every four years by the Union to guide its work between World Conservation Congresses.

According to the IUCN Forest Conservation Program for the intercessional period 2005- 2008 the FCP mission was stated as: "*in line with the global IUCN mission is to influence, encourage and assist societies throughout the world to conserve biodiversity in forest and tree-dominated landscapes and ensure that the use of forest resources is equitable and ecologically sustainable".* The document was intended to provide the program with a clear and comprehensive long-term direction for safeguarding the world's forest and is, as such, expected to remain relevant for many years to come. However, to some observers these objectives, legitimate as they may be, appeared to be too ambitious

The strategic 2005 – 2008 program identified the following priorities:

- The need for workable strategies that value and conserve forest biodiversity,
- Ensuring forest conservation contributes to a just and equitable world and
- Ensuring conservation interventions leverage significant changes..

In trying to identify a niche for FCP, the 2005 – 2008 programme further stated that in every respect, in terms of the status, threats and opportunities, the figures associated with forests are huge. FCP resolved therefore, to build its engagement strategy on encouraging key stakeholders to modify their behaviour in such as way as to deliver long-term and equitable conservation. This concept has guided this part of the review.

In line with the global IUCN mission and vision, consistent with its strategic and operational boundaries and respecting the key priorities of its members, the problematic focus of the FCP in the 2005-2008 intercessional period was on livelihoods and landscapes. Within this niche area FCP worked to provide knowledge, strength and capacity and promote equitable and sustainable government's arrangements that conserve and improve the ecological integrity and resilience of forest and tree-dominated landscapes, including forest protected areas, while enhancing the quality and security of local people's livelihoods.

Accordingly, the vision of the IUCN/FCP became "*the world will have more extensive, more diverse and higher quality forest landscapes. These will meet human needs and aspirations fairly , while conserving biological diversity and fulfilling ecosystem functions necessary for all life on earth*". The goal of the program adopted a more realistic approach: ''*given that IUCN neither owned or manages forests, nor makes decisions about the use of the world's forests, FCP can only realistically expect to make an impact and effect change through encouraging and persuading people to modify their behaviour"*. FCP has proposed five programmatic objectives, each of which is in alignment with Key Result Areas of the global IUCN Intersessional Program. Each of the objectives represents an area of work where the FCP would try and effect changes in order to meet its goals.

In addition, FCP also proposed six objectives for program delivery:

1. Understanding forest biodiversity in a changing world
2. Understanding forest biodiversity as livelihood resource
3. Making forest values count
4. Supporting international forest policy to deliver tangible improvements in forest practices
5. Working with stakeholders to protect, manage and restore forest landscapes for the benefit of both people and nature
6. Effective and efficient forest conservation program delivery.

These six objectives were shaped in response to the changes in the global perceptions in the late 1990's and early 2000's that impact directly on the conservation of forest resources, and thus on the means available for IUCN to do business. There was a new paradigm emerging: donors, with a much sharper focus on poverty reduction, have all but walked away from a direct engagement in forest and forest conservation issues (perhaps with the exception of illegal logging). Public awareness of, and interest in, forest loss and degradation has also sharply declined from where it stood at the end of the 1990s. Most international dialogues on forests move along in fits and starts and have experienced widespread disillusionment among Civil Society who believe that the will is not there among governments to find tangible and constructive ways out.
Cognizant of that dilemma, IUCN\FCP tried to respond to the evolving global priorities. The six objectives and associated twenty-seven ''Results or Outcomes" cover a wide spectrum of forest conservation and related activities. It is clear that the programme has responded to paradigm shifts in global forestry from conservation *per se* to management of protected areas, ecosystem management and sustainable forest management.

A Forest Landscape Restoration (FLR) was developed as a framework which holds opportunities for people to win more and lose less. It is a question of bringing people together to identify, negotiate and implement what matters most to them across a landscape be it primary forest, secondary forest, agriculture or even degraded land. Taking restoration out of the conservation domain and putting it into the landscapes of communities, industrial plantations, agricultural and degraded forest lands puts policy concepts such as the ecosystem approach and sustainable forest management into practise.
By 2005, FCP managed to mainstream Forest Landscape Restoration (FLR) into international forest dialogue. FCP was further integrated into practice through some projects. This is a concept that the Forest Team across IUCN has been implementing with members and partners in government, NGOs and the private sector as it fosters alliances, practical solutions and sustainability. It has gained considerable recognition by the international forest community. For example, the Forestry Commission of Great Britain is using FLR as a means to achieve competitive and innovative forestry that support health and well-being as well as being adaptable to changing environments due to climate change for example. IUCN/FCP has also managed to incorporate civil society and private sectors to contribute advice to governments working to combat illegal logging and other illicit forest activities (FLEG processes). IUCN has been involved in FLEG issues since 2001 and has a growing body of work in Africa, Asia, Europe and North Asia and Latin America. This work indicates that responding to these problems requires dealing with wider law enforcement and governance issues. These two areas of activities (FLR and FLEG) reflect the shift in global interests and consequently programmatic directions of FCP. .

By the end of 2005, FCP was convinced that working with those who have a direct interest in forests such as government forest departments and environmental NGOs was not enough in the light of complex government structure which influence the way in which landscape is organized or utilized. FCP planned to work more with sectors in the mainstream of forestry such as the equitable decentralization processes, rights to resources and working with ministries such as Finance, Health, and Energy. The second area of programmatic direction was to identify those biological and socioeconomic systems most vulnerable to climate change in order to reduce risk. The third issue was to include policy in the development of most field projects and further strengthen investments in strategic partnership, such as the Global Partnership on Forest Landscape Restoration.

FCP endeavoured to speed up knowledge flow and learning between field and policy. Nevertheless, the challenge of integrating lessons and tools of field/ regional/ international levels into effective efforts for national policy reform has persisted. There was a need to share the lessons across the regions to scale up the success. Finally, the time it takes for practise to inform policy and vice versa is too long. With the support of partners, FCP has built a strong focus around the scene of livelihood and landscapes that emphasized IUCN's commitment towards making forest conservation and restoration economically and socially beneficial for the poor and other forest dependent communities. That strategic evolution has been appreciated internationally.

Landscape Restoration became the central theme for FCP work by 2005/ 2006. The theme was regarded as the central theme around which to coordinate the programs activities and this thematic focus has been strengthened considerably over 2003-2004 Work Programme. The theme was central to demonstrating the link between biodiversity conservation and sustainable livelihoods. Again, it has reflected global priorities well in place around 2005.

Another significant evolution of IUCN/FCP work took place in 2006 in response to emerging paradigms emphasising rural poverty reduction while mainstreaming good environmental practise into productive landscapes. A Livelihood and Landscape Strategy (LLS) was developed to realise a vision of IUCN and partners aspiring to reduce global rural poverty. Three reasons guided this vision. *The first is ethical; it would be immoral to blithely pursue conservation activities while in the very same location people who rely on natural resources are unable to meet even their basic needs. The second is pragmatic, as the same resources that the global community values for their intrinsic wealth are worth that the rural population requires to sustain their livelihood; in such situations the viability of nature conservation strategies is entirely contingent on economic and social drivers. The third is political, because if the world is to "value and conserve nature" then conservation must convincingly deliver against positive 'mainstream" outcomes, such as poverty reduction, rather than simply reacting against specific threats to biodiversity alone. The fact that this strategy is exclusively focussed on those 88% of terrestrial landscape that are not protected for nature conservation is in itself indicative of this new conservation thinking.*

The overall goal of the LLS is '''*the effective implementation of natural and local policies and programs that leverage real and meaningful change in the lives of rural poor, enhance long-term and equitable conservation of biodiversity and ensure sustainable supply of forestry-related goods and services in line with nationally-defined priorities*"'. Through the LLS process, which requires bringing together regional and national forest colleagues across IUCN, the IUCN forest teams capacity and implementation has been strengthened in the areas of Knowledge, Empowerment and Governance

By 2006, IUCN/FCP had undergone an evolution in all its programmatic directions from conservation of biological diversity in "protected areas", to landscape restoration, to livelihood and landscape strategies, that recognizes the absolute necessity of integrating conservation into productive landscape for the benefit of society, especially the rural poor. .

Programme directions of major international organizations and bodies in Forest Conservation Activities,

This section is intended to demonstrate how IUCN/FCP programmatic directions reflect the global objectives for forest conservation and how IUCN/FCP is a leader in some of the programmes with clear priorities. It also intends to do that through outlining some of the programmes of major players in the field of forest conservation and sustainable forest management.

1. Centre for International Forest Research (CIFOR)

The CIFOR strategy, approved in 1996, and its medium term plan reiterated its mission and vision since its establishment. Under that strategy, CIFOR purview was envisaged to include the conservation of natural forests, forest habitats and biodiversity, and the role of forests in global atmospheric and climatic changes that influenced human well-being in other ways. CIFOR undertakes research under several themes (projects). Some of the projects which are relevant to FCP programmes include: underlying causes of deforestation, forest degradation and poverty in forest margins; forest ecosystems management; multiple resource management of natural forests; assessing the sustainability of forest management; testing Criteria and Indicators; conservation of biological diversity and genetic resources; livelihood, community forests and devolution; and sustainable use and development of non-timber forest products. CIFOR conducts its research in seven focal eco-regions spread over Asia, Africa, Latin America and Central America. Some of the research is done in partnership with other CGIAR Centres and major conservation organizations such as IUCN.

CIFOR is in the process of developing a new strategy, redefining its purpose and working modalities. Early indications show that CIFOR mission statement will refer to environmental conservation objectives and not only poverty reduction objectives and would expand its geographic area of interest beyond the tropics. The new strategy would also emphasize the critical role of partnership in CIFOR research especially as related to research into Avoiding Deforestation including Adaptation.

2. The Global Agroforestry Research Centre (ICRAF)

Although not directly doing research in natural forest, ICRAF has conservation and sustainable use of trees as part of its research work. Two of ICRGF research foci that are very relevant to FCP are : Land and People and Environmental Services (biodiversity conservation). The centre also works in several regions and ecosystems where FCP is operating.

3. The World Bank

IUCN/FCP was instrumental in the processes leading to the development of the 2002 World Band Forest Strategy. The strategy highlighted the interdependency of economic use of the forests (poverty reduction) and conservation in terms of protecting environmental services as pillars of the Bank's lending policy. This fits well the change in FCP emphasis on conserving the forest not only through protection but also through sustainable use and restoration.

Capitalizing on the 2002 Forest Strategy, the World Bank is developing a 'Global Forest Alliance" which would be based around three themes: (a) poverty alleviation, (b) sustainable forest management and markets for economic growth and (c) innovative financing to secure environmental services. The Bank is looking to strengthen partnerships with numbers of the Collaborative Partnership on Forests (CPF) among others. There will be a room for IUCN/FCP to participate as the objectives of the GFA are highly compatible with its current strategy.

Another process under development at the World Bank is the Sourcebook on Financing Sustainable Forest Management. The draft document emphasizes again the viable coexistence of conservation and production, improving forest management practises, avoided deforestation, cross-sectoral impacts; all of which are embedded to various degrees in the IUCN/FCP programmatic directions.

4. Global Environmental Facility (GEF)

Another entity that fits well into the programmatic directions of FCP is GEF, which grants support projects to developing countries to protect the global environment. The focal areas closer to IUCN/FCP work are biodiversity, climate change and land degradation. Since 1991, the GEF has invested nearly $4.2 billion in

grants and co-financing for biodiversity conservation in developing countries. As the financing mechanist for the Convention on Biological Diversity (CBD), the GES helps countries fulfill their obligations under the convention. The biodiversity portfolio supports initiatives that promote *insitu* and sustainable biodiversity conservation in protected areas and production landscapes as well as capacity building for implementation of the Cartagena Protocol on Biosafety (CPB) and knowledge dissemination. The following four strategic priorities define and guide the work of the biodiversity focal area:

- Capitalizing sustainability of protected area systems at national levels
- Mainstreaming biodiversity conservation in production landscapes/ seascapes and sectors
- Capacity building for the implementation of the UN Convention on Biological Diversity Cartagena Protocol on Biosafety
- Generation, dissemination and uptake of good practices for addressing current and emerging biodiversity issues.

The strategic emphasis for the biodiversity focal area is *in situ* conservation and sustainable use. In addition, GES biodiversity strategic priorities support the CBDs current work programs and reflect the current thinking within the conservation community. The GEF biodiversity strategy is designed to achieve biodiversity conservation within the framework of an ecosystem approach.

GEF biodiversity portfolio addresses biodiversity conservation through four strategic priorities:

- Catalyzing sustainability of protected areas systems at national levels
- Mainstreaming biodiversity in production landscapes and sectors
- Capacity-building for the implementation of the Cartagena Protocol on Biosafety, and
- Promoting degeneration, dissemination and uptake of good practises for addressing current and emerging biodiversity uses.

To effectively promote the CBD's objectives, the GEF focuses on protected area systems rather than individual protected areas. It is supporting a new generation of initiatives to capitalize on the sustainability of national systems of protected areas. Of five different ecosystems, forests have received nearly one third of the global GEF funding.

Mainstreaming biodiversity into other sectors and landscapes outside protected areas is an increasingly strong basis for GEF biodiversity programming. It seeks to mainstream activities at spatial, sectoral and institutional levels and through marked transformation. Future GES directions for mainstreaming will internalize the goals of biodiversity conservation and its sustainable use into production systems, supply change, markets, sectors, development models, policies, and payment for ecosystems services and programs. This is not far from future programmatic directions of the IUCN/FCP.

5. Food and Agriculture Organization of the United Nations (FAO)

The FAO Strategic Plan for Forestry of 1999 was one of the first global strategies to recognize interdependencies of forest conservation, sustainable forest management, and improved utilization of trees and forest systems and their genetic resources. Recognizing that such task is beyond the capabilities of any individual institute, the FAO Strategy called also for building partnerships with other organizations carrying out related work. That was translated in leading the CPF, of which IUCN is an active member. One of the current priorities of FAO Forestry Department is technologies and methodologies for the conservation and sustainable use of trees and forests. IUCN/FCP collaborates with FAO in several CPF initiatives such as landscape restoration.

6. International Timber Trade Organization (ITTO)

ITTO develops forest policy documents to promote sustainable forest management and forest conservation and assists tropical member countries to adapt such policies to local conditions and to implement them in the field through projects. The new 2006 ITTA also emphasizes poverty reduction, conservation and sustainable use of tropical forests; in line with the FCP's new directions. Both organizations collaborate on many fronts especially under CPF (Collaborative Partnership on Forests) initiatives.
IUCN/FCP realized that 86% of the world's forests lie outside of protected areas (assuming that14% of world forests are protected !!!) and approximately 50% of the world's biodiversity lives in tropical production forests. This has prompted IUCN to collaborate with ITTO to revise the ITTO guidelines for the conservation of biodiversity in tropical production forests. These are now being tested in selected forest operations in Brazil, Cameroon, Ghana and Indonesia to ensure they are focussing on the most important issues for conservation. The intention was that the new guidelines would be a practical step for influencing biodiversity outside of the traditional conservation community, demonstrating how biodiversity and profits can go hand in hand. The long-term aim is to build alliances between timber industries and biodiversity conservation groups to achieve 'multi-functional" forests. Also ITTO and IUCN held national workshops in nine tropical countries during 2006 to better understand the national level needs for the restoration and rehabilitation of secondary and degraded forests. This is regarded as a significant step forward for FCP in response to changing global realities.

6. United Nations Forum on Forests (UNFF)

UNFF identified seven elements of sustainable forest management including forest biodiversity, productive function of forests, protective function of forests and socioeconomic functions of forests. They are all pertinent to IUCN/FCP programmatic directions. Furthermore, UNFF agreed on four Global Objectives for the International Arrangement on Forests; the third of which is particularly relevant to FCP,
:"*Increase significantly the area of protected forests world wide and other areas of sustainable managed forests, as well as the provision of forest products from sustainably managed forests*". Recently, (April 2007) UNFF-7 concluded a Non-Legally Binding Instrument (NLBI) and a Multi-year Program of Work (MYPOW) which incorporates the four global objectives, thus lend global support to the IUCN/FCP programmatic directions. IUCN is an active member of CPF which was created to enhance collaboration among its fourteen members and to support UNFF.

7) United Nations Environment Programme (UNEP)

UNEP has biodiversity as one of its main Thematic Areas. Among several activities relevant to the work of IUCN\FCP, UNEP produces the Global Environment Outlook every few years which provides an overview on the main environmental developments. It addresses among other subjects, forest biodiversity. UNEP also houses the World Conservation and Monitoring Centre (WCMC) as its biodiversity assessment and policy support arm. Key programs of WCMC include world database on protected areas, ecosystems and biodiversity assessments, biodiversity indicators and species; all in the purview of IUCN/FCP.

Another program of relevance to the programmatic direction of IUCN/FCP is UNEP's Poverty and Environment focal area, which aims at integrating the environmental concerns into development planning and investments. UNEP and UNDP (UN Development Programme) launched a joint Poverty and Environment Facility, which is designed to help developing countries to integrate sound environmental management into their poverty reduction and growth policies.

In Africa, the post-conflict unit of UNEP with IUCN, has introduced the Forest Landscape Restoration approach as a way to address the environmental consideration of human displacement. It is expected that the IUCN/FCP will collaborate further with this new facility whose agenda addresses issues high on the priority list of IUCN/FCP.

8) Post- United Nations Conference on Environmental and Development (UNCED) Conventions: .

The current work and future directions of IUCN/FCP is most relevant and mutually supportive of the mandate of the Conventions on Biodiversity (CBD), UN Framework Convention on Climate Change (UNFCCC) and Conventions to Combat Diversification (CCD). However, FCP programmatic directions are closer to the mandate and work program of the CBD than the other two conventions.

CBD addresses forests directly through its expanded Program of Work on forest biological diversity. The forest work program constitutes a broad set of goals, objectives and activities aimed at the conservation of forest biodiversity, the sustainable use of its components and the fair and equitable use of the benefits arising from the utilization of forest genetic resources. CBD interacts with many partners in particular CPF members. Nevertheless, there appears to be less joint activities between CBD and FCP than one would expect. CBD considers its work on sustainable use of biological diversity encompasses economic values of the forest, although these go far beyond biological diversity *per se*.

The FCP's programmatic directions, especially recent ones are better articulated than CBD to address sustainable use of forest biological diversity. One of the obstacles impeding the implementation of the CBD has been the broad scope of its three objectives. The need to mainstream the conservation and sustainable use of biological resources across all sectors of the national economy, the society and the policy-making framework is a complex challenge at the heart of the convention.

The early work of the FCP on underlying causes of deforestation (and land degradation) and future work on livelihood and landscape restoration is extremely relevant to the implementation of the Convention to Combat Desertification (CCD), but the collaboration between the two entities is not clear. Perhaps FCP should get more involved in the dry tropics, thus contributing to the implementation of CCD.

The evolving directions of UNFCCC particularly Avoided Deforestation and Adaptation and addition to the emerging topics for negotiation at the UNFCCC CoP's related to Forests and Climate Change are likely to impact the future programmatic activities of FCP as well as those of other organizations.

9) International NGO' s

WWF has been a long time partner and collaborator with IUCN/FCP. Its forest program is very extensive around the world with hundreds of field projects backed up by scientific analyses and advocacy work at the policy level. It concentrates mainly on forest conservation and problems associated with conversion of forest into other land uses. The links between economic use of the forest and conservation is however not clear in WWF programmes. Therefore, the future work of FCP on livelihood and conservation may not be very close to the WWF priorities, at least for the time being.

Another major NGO that focuses its work on 'conservation of different ecosystems, in its narrow sense, forests included, is The Nature Conservancy (TNC). It defines conservation success as the combination of three outcomes: maintenance of viable biodiversity, abatement of critical threats and effective protection and management. These objectives fall short of sustainable management of protected areas for their multiple benefits which has been adopted by FCP. It is felt that this puts IUCN/FCP several steps ahead of TNC in this regard. The same applies to a large extent to the Program of Work of Conservation International and World Resources Institute (WRI).

Regional Activities

The presence of IUCN forest activities is quite noticeable in several regions and ecosystems around the world relative to large organizations such as WWF and TNC considering its limited human and financial resources. The topics covered and regional programmatic directions are very wide and complement those undertaken by other organizations. In many cases IUCN programs are more advanced than others. It also entertains some new ideas more relevant to practical biodiversity conservation. However, it is noticed that the FCP activities are widely spread which may constitute constraints on delivery and effectiveness. The regional activities by IUCN and partners cover several subjects of global importance such as Forest fire, FLR, and FLEG. In reviewing some of FCP work, it appears that when implements in different regions, such activities would cater for regional economic, environmental and demographic characteristics and priorities. The following is a synopsis of some examples of regional IUCN activities in terms of relevance and impact.

Earlier work of IUCN on forest fires in collaboration with partners is quite significant and served to highlight the environmental, economic and social impacts of forest fires in several regions of the world. Relevant examples include; the relationship between fire and rural livelihood in Africa, IUCN/WWF initiative on forest fires in South East Asia and the Fire-adapted Ecosystems in the Mediterranean Basin.

Under the FLR programme, IUCN\FCP and Regional staff have undertaken several activities. The work, especially in collaboration with WWF in South East Asia and East Africa, has paved the way for many other organizations to get involved in similar activities and for countries to adopt such an approach. The series of Landscape Restoration projects were set to achieve practical conservation gains while enhancing human well-being. The experience has been shared with several key people and organizations in Europe, Asia, Latin America and Africa.

The Forest Law Enforcement and Governance (FLEG) is high on the Regional IUCN agendas as well, particularly in term of stockholders participation with reasonable global impact. For example, in 2005 Headquarter and Regional staff coordinated an open multi-stakeholders dialogue for Ghana's forest sector in the light of the African Forest Law Enforcement and Governance (AFLEG) Yaoundé Declaration of 2003. Related activities were carried out in Liberia as well with financial support from DFID and other donors and in Europe and Northern Asia under the ENA FLEG processes. IUCN stressed knowledge sharing and provided information to national negotiators engaged in global discussion,. Such guidance is quite unique to IUCN activities. Of particular importance in this connection is the issue of land and resource tenure policies or legislation. The work was extended to other countries in Central and West Africa as well as to China. IUCN would eventually analyse the disseminate lessons learned from these activities with a cross-country and cross-regional overviews and coordination to help achieve greater coherence between projects and better informed decision-making relevant to FLEGT/VPA's at the national, regional and international levels.

The LLS is basically a set of regional (and consequently country) activities since it emphases eight strategic outcomes in 11 geographic components in Africa, Asia, Latin America and Central America for a total of 25 countries. The central global goal of the LLS fits regional priorities judging from the stated "Interventions Goals" of each geographic component. The fact that LLS stresses "Strategic Outcomes", not "Outputs" is consistent with global trends.

CONCLUSIONS- Programmatic directions of FCP and IUCN Leadership

Examining the mandates, priorities and strategies of several allied international and regional bodies reveals that the programme of work and the programmatic directions of IUCN/FCP are in line with trends prevailing in the sector in general. The clear shift from traditional biodiversity conservation towards sustainable management of protected areas for multiple functions and benefits is globally dominant at

present as far as research, development and financing are concerned. A significant development in IUCN's policy has been prompted by the fact that FCP is more convinced now that the main threat to the rich resources of biodiversity in the forest is not logging; but rather the insatiable hunger for land needed to meet the world's expanding demands for palm oil, soy beans, rubber and other tropical crops, or at times by large–scale infrastructure development such as road building and mining.

The current overarching objectives of comparable programs around the world is to enhance livelihood by contributing to improved policies and practises related to the management and use of forests and forested land coupled with special emphasis on policies governing other sectors which have impact on forests. The holistic linkages between livelihood and sustainability, of which conservation of biological diversity is an integral component are now high on the global agenda, and FCP can justifiably claim leadership as it is in the fore front in this connection.

This trend has been developed and to some extent implemented in response to having poverty reduction occupying a prominent position in MDGs. It is clear that IUCN/FCP, which had started as purely forest conservation activity, has embraced poverty reduction as an overarching theme of its work. Obviously, having poverty reduction guiding work on forest conservation and management of protected areas primarily for biodiversity conservation has not been 'smooth sailing". Reconciliation between the two strategies especially at national and regional levels, has been, and will continue to be difficult but worth pursuing in order to justify the consensus to explore new approaches. These efforts are especially led by the World Bank, Convention on Biological Diversity and Global Environmental Facility (GEF). The recent developments in the UNFCCC are adopting that approach as well. One would expect that within the global interest in the role of forest in adaptation to and mitigation of climate change and the significant role of Reduced Emission from Deforestation and Degradation (REDD), there will be an imminent paradigm shift in emphasis and interest. This will most likely be followed by a shift in ODA and other multi- and bi-lateral aid. The private sector is bound to increase investment in this domain as well. Certainly, IUCN/FCP will have to respond to the new challenges which could mean deemphasizing some of its ongoing activities and initiating new ones.

Current IUCN/FCP programmatic directions recognizes the tradeoffs between conservation and development programs and strives to explore ways and means to achieve both objectives simultaneously, within a landscape, aspiring to find a mix of land uses that satisfy livelihood and development needs while maintaining forest biodiversity. Achieving such a complex objective in a given landscape is beyond the capabilities of the individual organizations, hence developing and maintaining partnerships are vital for the future success of IUNC\FCP.
(M. Hosny El-Lakany)

ANNEX 6
FCP PROJECT PIPELINE ANALYSIS

1. Introduction

In an organization as IUCN with a limited core budget the different Programs and implementing units obtain the financial resources to implement their activities and achieve its objectives through the implementation of Projects funded from different sources (international cooperation, national institutions, private foundations, etc.). The management of the process to develop, negotiate and implement Projects (Project Pipeline) is a key element for the pertinent unit managers; therefore a basic analysis of this aspect was carried out for FCP.

2. Information

The analysis was based on the information about FCP implemented Projects over the last 5 years (since 2003). This information was provided by the FCP staff based on their official records (IUCN FPC ABC List). These records (see table below) include from small consultancies to large Projects; in this analysis only Projects with a total budget over SFR 50,000.- were considered.

PRJECT #	PROJECT NAME	DONOR	2003	2004	2005	2006	2007
32094	Poverty & Conservation	IUCN-IIIC	**C**	**C**	**C**		
75868	World Bank Forest Policy	Finland	**C**				
76082	Forest Landscape Restoration	NEAFF	**C**				
76092	Carbon fixation, Biodiversity & Livelihoods		**C**				
76159	Protected Areas Transboundary Issues	ITTO	**C**				
76173	Firefight	ITTO	**C**				
76181	Landscape restoration	ITTO	**C**	**C**			
76197	AFLEG Africa Forest Law Empowerment Gvnance	DFID	**C**				
76239	Allanblackia (Central Africa)	Nov Africa	**C**				
76320	CDM Forest Activities	CIDA		**C**			
76342	UNFF Experts Workshop	DFID			**C**		
76353	Ecosystem approach	PROFOR			**C**		
76397	UNFF Experts Workshop	UK FC			**C**		
76404	Climate Change Vulnerable community adaptation	SDC			**C**		
76418	AFLEG	DFID			**C**		
76424	UNFF Experts Workshop	ITTO			**C**		
76456	Allanblackia Poverty	SECO	**B**	**B**	**C**	**C**	**C**
76457	Regional Capacity Building	UNEP				**C**	
76479	Liberia Forest Initiative	World Bnk				**C**	
76500	Climate Fund	DGCS				**C**	**C**
76518	Training Workshop	ITTO				**C**	
76565	Sideways and upways	PROFOR				**C**	
76578	Supporting civil society	US SD				**C**	
76613	Lessons learning	NC-IUCN				**C**	
76655	Testing Revised ITTO Guidelines	ITTO					**C**
76716	RRI Launch	Ford					**C**
76739	Measuring outcomes	PROFOR				**A**	**C**
76764	CC Adaptation Zambia	Finland					**C**
76786	AFLEG Ph 2	DFID				**A**	**C**
80202	RAMSAR WANI support on Climate Change	WANI	**C**				
83700	Bangkok Climate Legacy	WCC			**C**	**C**	**C**
88001	Livelihoods and Landscapes Strategy LLS	DGIS				**B**	**C**

In the previous Table, the code C represents that the Projects were implemented during that particular year. The codes A or B mean that the Projects were negotiated during that year. When neither A or B codes are mentioned, that implies either that the Project was negotiated and begun in the same year, or that the project under development or negotiation were not included in the ABC List records. Only C Projects information is hundred percent reliable in terms of inclusion on the ABC List records.

3. Analysis

The analysis of the information provided in the table at the previous page shows the following respects:

a. There is a trend towards moving from short period projects (one year or less) towards longer period Projects (2 years or more). In 2003 there was just one Project that was longer than 1 year, and it was an internally IUCN funded Project through the IIIC fund. The situation seems to be changing slowly towards 2006 and 2007.

b. Most of the Projects do not show a negotiation period previous to implementation. While this can signals weak recording on the ABC List, it also reflects that most of these Projects are almost consultancies (short negotiation and short implementation period).

c. Every year there is a new generation of Projects under implementation, which indicates that FCP stays very active and successful in generating ideas and proposals and negotiating and implementing them successfully.

d. There is broad number of different funding sources for the 32 Projects considered; also indicating that FCP maintains a good network of contacts with the different funding sources. This variety of funding sources also increases the stability to the financial base of FCP as the Programme is not depending on the access to a unique (or few) sources of support.

ANNEX 7

FCP INCOME ANALYSIS

1. Introduction

FCP, and the overall IUCN in general, is heavily dependent on Project implementation to cover its costs and to be able to achieve its objectives. Therefore, the income from Projects is an essential component of the budget management for FCP and many other IUCN units at both the IUCN HQ and the IUCN Regions.

This issue is so critical for the smooth operation of the Programmes that a sophisticated process is in place to track and foresee what is the income expected from Projects, when will it come and how much of it will be used to cover the costs of the IUCN staff providing technical and management services to those Projects. The base for this analysis is the Project ABC List already described and analyzed in Annex 6.

This Annex presents a brief analysis of the evolution of the income of FCP over the last five years (since 2003) in order to identify and analyze some key trends.

2. Information

The analysis is based in the following information, provided by the FCP finance staff, as presented to and accepted by the IUCN Finance unit. This information is provided on a quarterly basis, but for the purposes of this analysis, only the figures from one Report per year were considered. Most of the date corresponds to the first quarter of each year.

The used information is presented in the following Table.

	2003 July	2004 Jan	2005 March	2006 Jan	2007 Feb
TOTAL C	1,741,444	1,113,114	3,102,668	2,276,576	5,844,460
TOTAL C FACTORED EXPENDITURE	1,037,226	354,982	1,272,723	1,166,965	2,196,551
TOTAL C FACTORED INCOME	847,329	276,482	1,015,384	835,188	1,778,399
TOTAL B	3,050,000	3,398,975	4,976,300	31,312,500	3,167,400
TOTAL B FACTORED EXPENDITURE	244,900	517,950	700,220	1,686,250	519,900
TOTAL B FACTORED INCOME	209,450	394,670	490,199	1,469,550	372,280
TOTAL A	3,438,290	4,440,000	3,796,300	5,063,200	6,620,000
TOTAL A FACTORED EXPENDITURE	81,623	155,050	181,580	238,720	0
TOTAL A FACTORED INCOME	69,913	122,263	142,882	181,850	0
TOTAL GENERAL	8,299,734	8,952,089	11,875,268	38,652,276	15,631,860
TOTAL GENERAL FACTORED EXPENDITURE	1,363,829	1,027,982	2,154,523	3,091,935	2,716,451
TOTAL GENERAL FACTORED INCOME	1,126,742	793,414	1,656,465	2,486,588	2,140,996

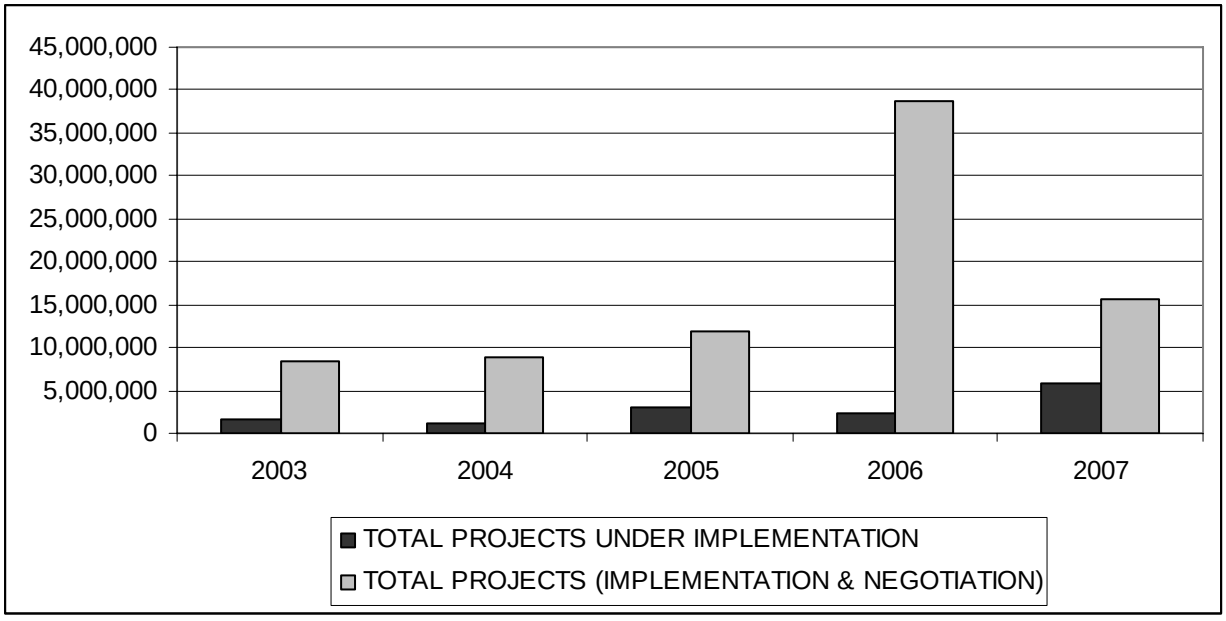
3. **Analysis**

The analysis was carried out in three components:

- Evolution of the resources destined to achieve FCP and IUCN Mission and Objectives. These resources are basically the overall budgets of the Projects implemented by FCP. As these budgets include all the activities, they provide a measure of the mobilized resources to fulfill Objectives
- Evolution of the resources to fund FCP costs. These are the resources that FCP will receive from the Project to pay for the services provided by FCP; these resources contribute to cover the overall FCP costs.
- Evolution of the financial risk of FCP

1. Evolution of Total Projects budget

This analysis is related to the amount of financial resources mobilized by FPC to achiebe IUCN and FCP objectives. Most of these resources are spent in activities carried out by FCP, Regional Offices, other partners and consultants.



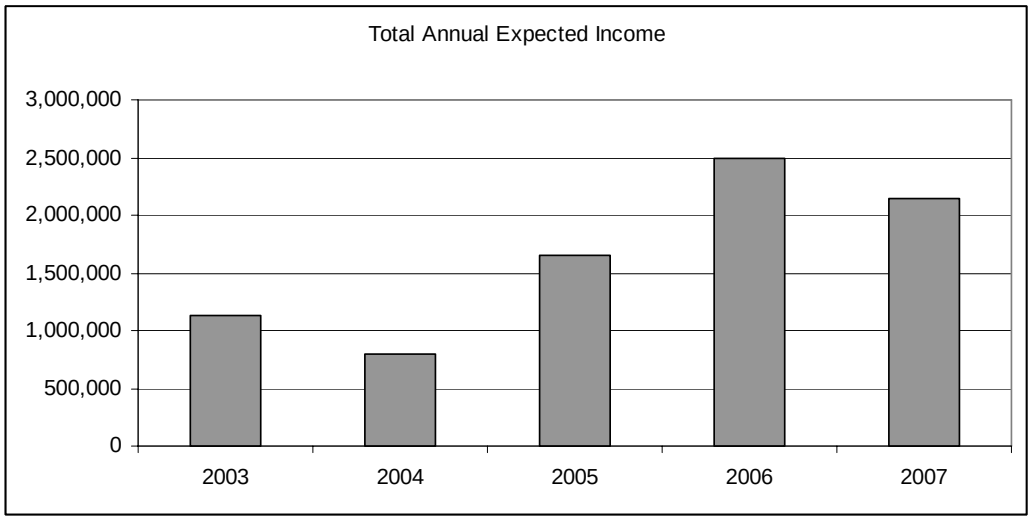
The graphics show a relatively large difference between the total amount of financial resources in the Projects under implementation and the same amount under negotiation. This difference is a good sign of an active and healthy Programme that is negotiating different things with different funding sources. The extremely large difference shown in 2006 is due to the inclusion of the LLS Projects, the largest up to date in the history of IUCN. In 2007 this Project is kept, but the components to be implemented by other IUCN units and partners were excluded, hence the reduction.

A general trend towards growth of both analyzed components (Total General Projects duplicated, Total Signed (C) Projects tripled up) can be seen, and provide good evidence of the general healthy evolution of FCP in terms of mobilizing resources towards the achievement of its objectives.

2. Evolution of the total income

Total Income is the portion of the Projects to be spent in covering FCP costs (staff, equipment and operations). In other words, this analysis shows how much money FCP is getting from the Projects (analyzed in the previous section) to cover its expenses.

In IUCN terminology, this analysis is based on Total General Factored Income that includes both Projects under implementation (C) and Projects that FCP expects to get approved and started during the year (A and B).



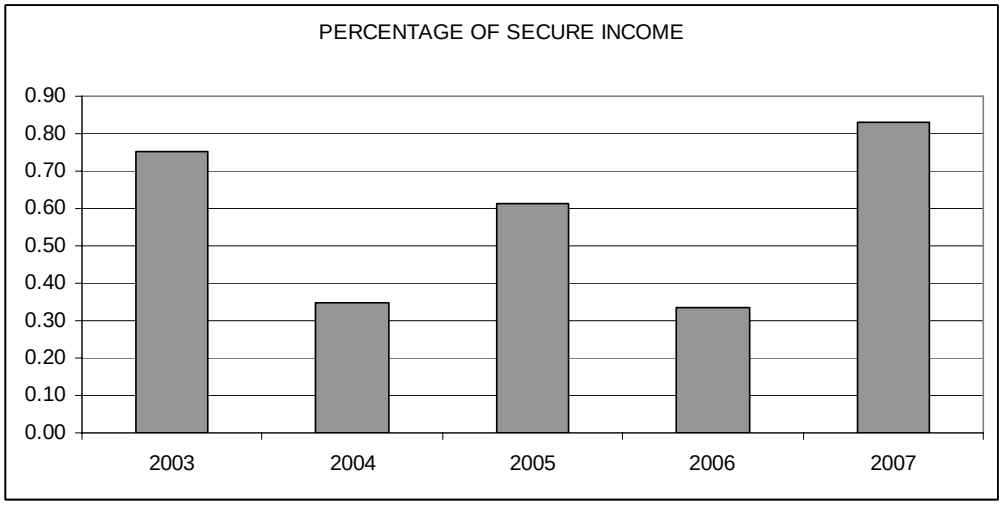
While analysis of best linear fit does not make much sense in this type of analysis, a clear trend towards growth of FCP income is visible from both data and graphics. In general terms, it can be said that FCP income has been duplicated over the last 5 years. This is a very good rate of growth for any programme or unit in institutions as IUCN.

3. Risk management

As said in the previous paragraph, the Total Expected Income includes both Projects under implementation (with a signed contract with a funding source) and Projects that are either under negotiation (B) or just in the conceptualization / design base stage (A).

Given the short term basis (annual) of the IUCN financial management cycles, the proportion between these two components (secure and to-be-negotiated projects) is a measure of the risk being taken by the Programme.

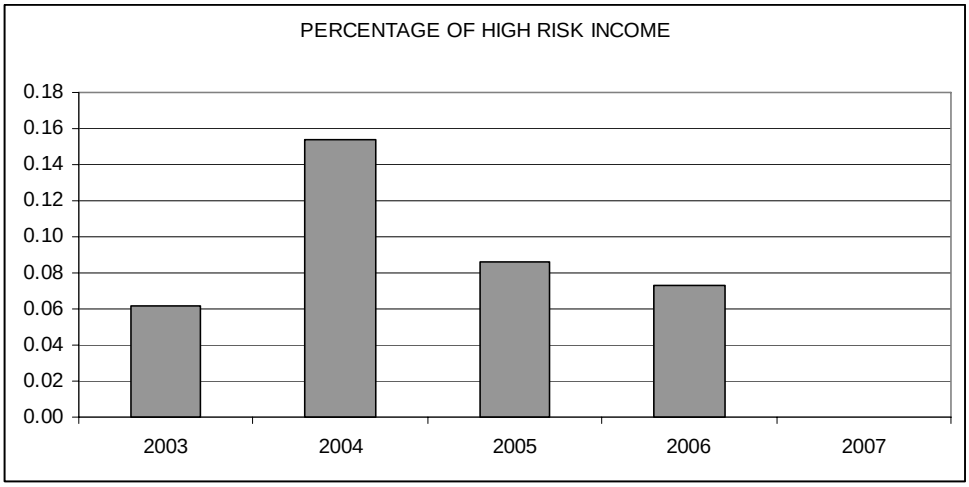
Two graphics are shown to analyze risks: one is the proportion of secure funds and the other is the proportion of the highly insecure funds, both in relation to the Total Expected Income.



The percentage of secure income seems quite variable at first look, but the figure from 2003 cannot be compared easily with the others because it is amid-year number (July), and usually by mid-year a number of projects that were under negotiation at the beginning of the year are already signed, so they moved to the C list.

The low figure of 2006 reflects the fact that the FCP staff concentrated this year to the negotiation of LLS. This negotiation was very absorbent, so much that this the only year in the series in which FCP had a deficit at the end of the year.

While this negotiation was successful, it is interesting to see how these very intense negotiations of large projects increase the overall risk of a Programme. In any case, the average percentage of secure income for the 5 years is 60%, with a tendency to increase. This can be considered as normal for IUCN, but it also shows the delicate balance that the organization and its Programs are keeping over the years to maintain the organization running.



Considering the time required to develop and negotiate Projects, the A Projects (projects under design, not yet under negotiation) represent the riskiest component of the Total Expected Income. In the case of FCP it is interesting to note two things, one that this component was never too high (15% maximum) and that there is very healthy trend that led to its complete disappearance in 2007. This healthy evolution towards the elimination of high risk budget components is in line with he overall IUCN financial and budget procedures.

ANNEX 8

ARBOR VITAE NEWSLETTER ANALYSIS

1. INTRODUCTION

Since its early years FCP established a reputation about a source of publications on issues related to forest conservation and its multiple related issues (a complete list of the FCP publications is presented in Annex 9).

A few years ago, with the establishment of the Forestry for Life initiative jointly with WWF International, the focus on publications shifted first to the Arbor Vitae Newsletter (jointly published between FCP and WWF-I) and later to the publication of books through commercial publishing firms (as explained in the main text).

As Arbor Vitae became one of the central elements of the FCP communications and publications efforts, an analysis of a recent number of Arbor Vitae issues (7 issues (#26 to #32), covering the period September 2004 to December 2006) was carried out.

2. ANALYSIS

The key aspects considered were content and contributions.

Contents

Arbor Vitae is a Newsletter that focus the contents of each issue on a specific theme relevant to forest conservation. This is a distinctive feature that complements other generic news and forestry publications reviews.

As a sample of the focus issues addressed in the Newsletter, the following table provides a list of those addressed in the examined sample:

AV # 26. Access to Forests
AV # 27. Forests and natural disasters
AV # 28. Forest Landscape Restoration
AV # 29. Forest Conservation and Poverty Reduction
AV # 30. Forests and biodiversity conservation
AV # 31. Forest Plantations
AV # 32. Illegal logging

As it can be seen looking at the previous list and the different key issues addressed programmatically by FCP, there is a strong consistence between both, and also an effort to broaden the forestry field towards the overlap areas with other relevant fields of action as poverty, biodiversity, natural disasters, governance, etc.

Contributions

Besides content, other relevant aspect considered was who contributed to Arbor Vitae? An analysis of the institutions to which the different article authors belonged showed the following results:

	Arbor Vitae #							Total number of articles	Percentage of articles
	26	27	28	29	30	31	32		
IUCN FCP	3	2	6	2	4	1	2	20	17.7
IUCN Forest Team	2	4		1	3		3	13	11.5
WWF	5	3	5	4	6	3	4	30	26.5
ITTO	1							1	0.9
CIFOR	1	1		1	1	1		5	4.4
CITES	1	1						2	1.8
FAO		1				1		2	1.8
PNUMA		1						1	0.9
IISD		1						1	0.9
IIED				2				2	1.8
IUCN Commissions			1	1			1	3	2.7
WCS				1				1	0.9
DFID							1	1	0.9
OTHER	2	2	4	4	2	10	7	31	27.4

The analysis of the information shows that approximately half of the articles come from the partners (IUCN and WWF). In the case of IUCN the materials are coming from FCP and the broader Forest Team, as well as from the IUCN Commissions.

There is a long list of international organizations that has been involved depending on the specific theme, and there is also a long list of national organizations and NGOs (pooled together under Other), that actually produced the largest number of articles.

This analysis provides evidence about the intention of FCP of using the Newsletter as an instrument to strengthen partnerships, provide broader views on the different issues and maintain Arbor Vitae as an expression of the conservation forestry movement instead of just FCP.

ANNEX 9

FOREST CONSERVATION PROGRAMME

LIST OF PUBLICATIONS AND PAPERS (BY ALPHABETICAL ORDER OF TITLES)

1. Action – Research – Evaluative Project Cultures Report on a training session with NACFP – by Charles Doumenge
2. A preliminary Forest Quality Assessment of the DYFI Catchment Water.
3. A protected area management effectiveness system for Central Africa.
4. Batak Resource Management – Belief, Knowledge, Practice, by James Eder.
5. Beyond Rhetoric (English and Spanish)
6. Biodiversity and Sustainable Use of the World's last Natural Walnut and Fruit Forests in Southern Kyrgyzstan. Forest Management in a changing World. – Don Gilmour.
7. Biodiversity Conservation through Community Forestry, in the montane forests of Cameroon. M. Nurse.
8. Buffer Zone Management in tropical moist forest. Sara Oldfield
9. Challenges and Recommendations. Consultation to the World Bank's Forestry Policy. Implementation Review and Strategy.
10. CIB Forest Concession Assessment.
11. CIFM Regional Profiles – Land, People, Forests – In Eastern and Southern Africa at the beginning of the 21st Century. Liz Alden Wily and Sue Mbaya.
12. CIFM Regional Profiles – Analysis of stakeholder power and Responsibilities in Community Involvement in Forest Management in Eastern and Southern Africa. Ed Barrow, Jeannette Clarke, Isla Grundy, Kamugisha-Ruhombe Jones, Yemeserach Tessema.
13. CIFM Regional Profiles – Bosques en Mesomerica.
14. CIFM Regional Profiles – Canada and the USA.
15. CIFM Regional Profiles – Asia
16. CIFM Regional Profiles – Southeast Asia
17. CIFM Regional Profiles – Europe.
18. Collaborative Management of Natural Resources for Conservation and Development. Bob Fisher.
19. Communities and Forest Management
20. Community Based Fire Management participatory mapping and data collection.
21. Community Based Fire Management – Workshop report 2001 – RECOFTC/Firefight/EU
22. Conservación de los Ecosis. For. De Guinea Ecuatorial (EMPTY)
23. Conservation and Development: Seeking the Linkages. D A Gilmour.
24. Conserving Biological Diversity in Managed Tropical Forests. J M Blockhus, M Dillenbeck, J Sayer, P Wegge.
25. Conserving Biological Diversity outside Protected Areas. Madrid Workshop. P Halladay and D A Gilmour (Editors)
26. Constructive identification of Failure. John Kessy and James Ramsey.
27. Consultation on Buffer Zone Management in Thailand (RECOFTC). D A Gilmour and J M Blockhus.
28. Criteria and Indicators for Sustainable Forest Management in Europe: Current station of the Helsinki Process. D A Gilmour.
29. El extractivismo en America Latina. M Ruiz Pérez, J A Sayer, S Cohen Jehoram.
30. Environmental Education about the Rain Forest.
31. Evaluation of Forest Quality – towards a landscape scale assessment.
32. Extractive Reserves. Julio Ruiz Murietta, Rafael Pinzon Rueda.
33. Forests: a growing concern. John Husband and M Parren (Editors)
34. Forest Conservation with a Human Face
35. Forest, Landscape Restoration.
36. Forests for Life – IUCN/WWF
37. Forests for Life: Forest Conservation Programme Portfolio – overviews and concept papers.
38. Forest Innovations: from theory to practice – IUCN/WWF and BMZ/GTZ.
39. Forest Innovations: a preliminary survey of management status and threats in forest protected areas – August 1999.
40. Forest Innovations: Back to Energy Crisis. The need for a coherent policy towards renewable energy options.
41. Forest Innovations: Central African Forest quality workshop, Yaoundé Cameroon, 2-3 March 1998.
42. Forest Innovations: Estatores para la evaluación y el monitoreo de la calidad del bosque.
43. Forest Innovations: Forest Quality in the Tropics – preliminary proposals for assessment on a landscape scale.
44. Forest Innovations: La necesidad de un lenguaje comun como punto de partida.
45. Forest Innovations: Progress towards the global forest strategy – main outputs 1996-1997.

46. Forest Innovations: De la teoría a la practica – propuesto de trabajo 1998.
47. Forest Innovations: Propuesta metodología para la selección de criterios e indicadores y análisis – 1999.
48. Forest Innovations: Protected Area Management Effectiveness assessment system for Central Africa.
49. Forest Innovations: Results of a Workshop held in Gland Switzerland, January 1998
50. Forest Innovations: Revisión general de los objetivos y el estado de formulación y propuesta.
51. Forest Innovations: Taller regional 8-10 Junio 1999. Medición de la efectividad del manejo de APs.
52. Forest Innovations: The Intergovernmental forum on forests.
53. Forest Innovations: The relationship between the Global Forest Strategy and the Global 200. Dec 1998.
54. Forest Innovations: The role of forest protected Areas in the landscape.
55. Forest Innovations: Why big picture solutions to timber supply will not save forest biodiversity.
56. Forest Protection in Ghana.
57. Forests Reborn
58. Forest Quality.
59. From conflict to Collaboration, People, and Forests, Mount Elgon, Uganda. Penny Scott
60. Global Partnership on forest landscape restoration.
61. Forest Quality in the Dyfi Valley. Rapid assessment on a landscape scale and development of a vision of forests in the catchments.
62. Guidelines for Timber plantations.
63. Habitat Corridors (EMPTY)
64. Hunting and Wildlife Management in Sarawak.
65. IUCN and Forest Conservation. D A Gilmour
66. IUCN-WWF Forest Policy Brieg.
67. Kenya's Indigenous Forests – Status, Management and Conservation.
68. La Conservacion de la diversidad biologica. J.M. Blockhus, M Dillenbeck, J A Sayer, P Wegge.
69. La Conservation des Ecosystèmes forestiers d'Afrique Central.
70. La Conservation des Ecosystèmes forestiers du Cameroun.
71. La Conservation des Ecosystèmes forestiers du Congo. Philippe Hecketsweiler.
72. La Conservation des Ecosystèmes forestiers du Gabon
73. La Conservation des Ecosystèmes forestiers du Zaïre.
74. La Conservation des Ecosystèmes forestiers de l'Ile de la Réunion.
75. Land-Use changes in Two Middle Hills Districts of Nepal. W J Jackson, et al.
76. Legal Policy Issues.
77. L'Equilibre des Ecosystemes forestiers à Madagascar. Actes d'un séminaire international.
78. La gestion des régions forestières tropicales humides.
79. Le parc national d'Odzala, Congo.
80. La réserve de Conkouati, Congo Sud-Est.
81. La réserve de Conkouati, Congo Sud-Ouest.
82. L'equilibre des Ecosystèmes forestières du Gabon (EMPTY)
83. Linkages in the Landscape. A Bemmett
84. Liste provisoire des mammifères de la réserve de faune du Dja et sa périphérie . W Bergmans.
85. Management of tropical Moist Forest Lands.
86. Nature Conservation of Uganda's tropical forest reserves.
87. Non-timber forest product gathering in Rittigala Forest (Sri Lanka) Household strategies and Community differentiation.
88. Non-timber forest products – Ecological and economic aspects of exploitation in Columbia, Ecuador, and Bolivia. G Broekhoven.
89. Participatory techniques for Community forestry in Nepal. W J Jackson
90. Participatory techniques for Community Forestry – A Field Manuel. W. J Jackson and A Ingles.
91. Plantations in the tropics – Environmental Concerns. J Sawyer.
92. Pluralistic Planning – Creating room for Community Action in the Management of the Global Environment. L M Scherl, D S Cassells, D A Gilmour.
93. Programme Proposal for Vietnam-Finland Forestry Sector Cooperation – Initial Phase. K Böstrom, C Doumenge, M Mähönen.
94. Rainforest Buffer Zones – Guidelines for Protected Area Managers. J A Sayer.
95. Rare Tropical Timbers. S Oldfield.
96. Regional Community Forestry Training Center (RECOFTC) Strategic Plan.
97. Rehabilitation of Degraded Forest Ecosystems in Cambodia, Lao PDDR, Thailand, Vietnam – Regional overview (Draft Final Report) A D Gilmour M Van San, X Tsechaliche.

98. Rehabilitation of Degraded Secondary Forest Ecosystems in Cambodia, Lao PDR, Thailand, Vietnam. Secondary forests in Tropical Asia, Reality and Perspectives. Samarinda, East Kalimantan, Indonesia April 10-14 2000. D A Gilmour, D Lamb.
99. Reservas Extractivistas – CEE-CNPT-IUCN A Iannuzzi Alves, C Aragon Castilla, M Lina Feitosa, M Von Behr, R Pinzon Rueda.
100. Reservas Extractivistas – J Ruiz Murrieta E, R Pinzon Rueda.
101. Report based on a training session with NACFP. 24Feb – 14 March 1996. J M Blockhus. G Broekhoven.
102. Research and Planning methodologies for NTFP –based conservation and development initiatives – NTFP network for S and SE Asia.
103. A Review of the Thai Forestry Sector Master Plan.
104. Seeking Connections. Linking with Policy Formulation – A Proposal of the Working Group on Community Involvement in Forest Management to the British DfID.
105. Sharing the Land: Wildlife and Development in Africa. IUCN/Rosa Publication.
106. Social Aspects of Forest Rehabilitation (Forest Reforestation to rehabilitation) D A Gilmour.
107. Strategies for the Conservation Management of the Lanjak – Entimau/Bentuang Karimun transboundary Conservation Area. D Gilmour 1997.
108. Supporting income Generation from Community Forestrs: some policy and practical consideration.
109. Sustainable Livelihoods: documentation of assumptions, key issues, questions. S Jeanrenaud 2000.
110. Sustainable utilization of non-timber forest products. Lao PDR – Report of review and evaluation mission. Dec. 1996. D A Gilmour. I Inthavong.
111. Timber Forest Products. Haribon Palawan.
112. The Conservation of Mount Kilamanjaro.
113. The People-Forest Connection. P. Scott.
114. Threats to Forest Protected Areas.
115. Tropical Reforestation and Species Extinction. T Whitmore – J Sayer.
116. The Wellbeing of Forests. A Moiseev, E Dudley, D Cantin (editors)

ANNEX 10

IUCN FOREST CONSERVATION PROGRAMME REVIEW

PRELIMINARY PAPERS

ANALYSIS OF LLS FUNCTIONS, POSITIONS AND TOR

Alejandro C. Imbach – May 2007

INTRODUCTION

Preliminary Papers (as this one) are short reports generated during the review process to address urgent issues emerging from the review process, and usually requested by the reviewed units. The nature of the paper is preliminary because they are delivered before the review process is completed, therefore they are subjected to changes and adjustments depending on the facts, evidence and interpretations than may emerge at later stages of the review.

The Livelihoods and Landscapes Strategy (LLS) is the largest undertaking of the Forest Conservation Programme (FCP) since its beginning. It was recently approved in late 2006 and it is now going through its first implementation stages. This analysis is expected to contribute to the completion of these initial stages.

LLS IMPLEMENTATION MODEL

LLS is planned to be run as decentralized initiative implemented at site level by IUCN Regional Programmes and partners and coordinated by the FCP. This model has a different base compared with other processes that are implemented directly by the pertinent Global Programme or by IUCN local teams hired by the Project and reporting to the Project.

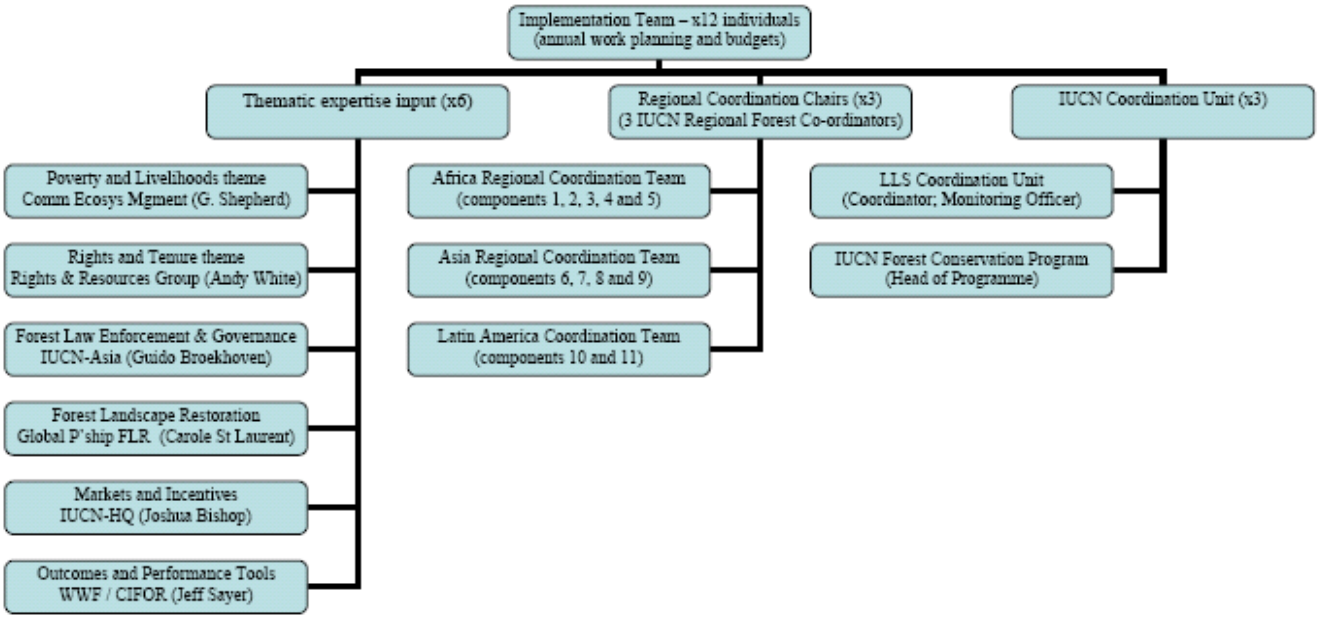
The approach taken by LLS is expected to generate more ownership at the stakeholder level, and then to increase both the efficiency and the sustainability of the activities. The eleven geographical sites and countries considered in LLS are:

1. Upper Guinean Forest Landscapes / Ghana and Liberia
2. East and Southern African Forest Landscapes / Uganda, Tanzania and Mozambique
3. Sahelian Landscapes / Burkina Faso, Mali and Sudan
4. Congo Basin / Cameroon, Congo Brazzaville and the Central African Republic
5. African Great Lakes / Burundi, DRC and Rwanda
6. Mekong Region / Cambodia, Lao PDR, Thailand and Vietnam
7. South Asia / India
8. Western China / China
9. South-east Asia / Indonesia
10. South America / Brazil
11. Mesoamerica / Mexico, Guatemala and El Salvador

LLS will also run at different spatial scales (or complexity levels) from local to national to regional to global. Therefore, different and specific stakeholders and processes should be addressed at each level and some articulation processes should be developed and maintained across these levels.

Finally, but not less important, there are four key thematic components running across the entire Programme: Poverty reduction, Governance, Landscape restoration, and Markets & Incentives.

LLS OVERALL IMPLEMENTING AND COORDINATION STRUCTURE



The above structure reflects the LLS complexity that can be also inferred from the Implementation Model described in the previous section.

In terms of management a complex structure has higher transactions costs, meaning specifically a relatively higher coordination workload. Moreover, given the decentralized nature of the Implementation Model, it should be necessary to run an intensive guidance and oversight mechanism in order to keep all decentralized initiatives running with in the same direction and maintaining a relatively coherent conceptual framework. It is well known and accepted that decentralized models also have higher transaction costs, basically in terms of support and oversight.

IUCN COORDINATION UNIT

The LLS Coordination will include several staff positions and a few long-term experts hired on a consulting basis.

The Staff positions are:

1. LLS Coordinator (with 10% of time as FCP Deputy Head) (Stephen Kelleher)
2. PM&E Officer (80% LLS / 20% FCP) (HIRING)
3. Knowledge management Officer (80% LLS / 20% FCP) (HIRING)
4. Administration Officer (100%) and Finance Consultant (10%) (Chantal Page & Maria Hassler)

There are other linked positions but they are more oriented to technical aspects and key thematic components (e.g. the Policy expert (75% LLS / 25% FCP) (Carol St. Laurent) and the Senior science advisor (50%) (Jeff Sayer), but these positions will probably play a minor role regarding Coordination

IUCN COORDINATION UNIT TASKS

An initial list of the tasks to be performed by the IUCN Coordination Unit includes:

1. Supporting the development of a clear and agreed understanding of the key concepts underlying the initiative. Some of them are fairly new and not well developed, despite being already adopted in the jargon, such as "landscapes", "livelihoods" and other. These support should also include ways to have these concepts operational in the field.
2. Supporting the Outcomes based planning and Annual Workplans
3. Implementation oversight
4. Budget management and oversight
5. Engaging in Human resources management and oversight, both within IUCN and with the partners. The level of engagement will change depending on where the HR issues are taking place; they can go from very intense in the case of the Coordination Unit itself to very loose in the case of remote partners.
6. Supporting the work, coordination and negotiation with partners
7. Maintaining the relationship with donors and the external interested audience (IUCN, WWF other GCP partners not involved but interested in LLS)
8. Implementing the M&E system, including both regular reporting and extraction of lessons
9. Facilitating exchanges within the initiative
10. Implementing and managing the knowledge management process, from the identification and synthesis of useful experiences, practices and lessons from the field to the delivery of targeted knowledge products to the different LLS audiences.

The above list is most probably incomplete and generic, but the LLS Coordination Unit is strongly encouraged to allocate time and effort to develop this list in order to ensure that all bases are adequately covered.

It is absolutely necessary to ensure that all Coordination tasks:

- are identified
- have a responsible person in charge,
- have identified and scheduled products
- are all included in a Coordination annual workplan to self-monitor proper implementation of Coordination tasks

FIRST ASSESSMENT OF THE CAPACITY OF THE COORDINATION UNIT TO MEET THE DEMANDS

A first assessment, based on comparisons with other regional projects working through partners rather than IUCN teams, such as Alianzas or the old OLAFO Projects both in Central America, show that the Coordination Unit will face considerable difficulties to perform its coordination tasks given the size and complexity of the initiative and the size of the Coordination Unit (5 persons, of which four are part-time).

Alianzas had 3 full-time dedicated persons plus 2 close consultants to deal with 6 consortia of partners in 4 countries. OLAFO had 5 full-time persons plus a couple of assistants to deal with 7 areas in 5 countries. LLS has 5 persons (not full-time) to coordinate 11 regions and 25 countries. Even assuming that the LLS staff has larger experience and capacity than the other cases, it still seems that it is going to be difficult but probably not impossible.

Therefore, it is necessary to take the necessary steps (if not already taken) to ensure that the Coordination Unit staff runs the Unit in the most efficient way. An efficient operation requires that:

a. The staff really dedicates the allocated time to LLS. Any deviation from this basic aspect will have negative effects on LLS, particularly along the first 2 years.
b. Terms of reference are well defined for each position and regularly reviewed and agreed on (annually at least)
c. There is clear workplan for the Coordination Unit and each one of its members including the Coordinator
d. There are regular monitoring meetings of the team (quarterly at the very minimum) and frequent coordination meetings (weekly or every two weeks)

The following sections will present a brief analysis of each one of the above listed points

a. Time

The decision to take a Senior person from FCP to lead LLS is a good decision because it helps to avoid a drift from LLS to become an isolated process. If the strategy is to maintain LLS as an integral part of FCP, this was a good decision.

Obviously this decision has the effect of leaving a significant gap in FCP. FCP is a Programme that required all its staff in 2006 (before LLS) to deal with its many commitments and initiatives. Having the senior staff cut by half and not replaced will have an effect on FCP that needs attention. As this paper is looking at LLS and not FCP, this aspect will not be explored further here, but it will be addressed in the final Review Report.

What needs to be stated clearly and urgently is that the LLS Coordinator should spent his 90% dedication time to LLS, and that any other commitment to the FCP workplan should be ruthlessly finished as soon as practical. If the LLS Coordinator remains active in FCOP activities not included in the LLS Coordination workplan (something quite probable given the process inertia that affects every person), LLS will start to suffer and to put it back on track will require a lot of efforts. Just as a reminder, LLS is just 18 months from its first external evaluation by the donor.

b. Terms of Reference

b1. LLS Coordinator

The TOR of the LLS Coordinator are pretty clear and thorough. Therefore what remains is the development of the pertinent Workplan presenting the products to be delivered (documents, visits, meetings, etc.).

Generally speaking, the TOR describe an extremely demanding position, both in time and skills. Therefore, it strengthens the analysis presented in the previous pages and the need to have all planned time for this position allocated to it.

At this point it is also necessary to make two brief recommendations:

a) In the TOR of the FCP Head it is necessary to incorporate as a task to ensure that the LLS Coordinator/Deputy Head allocates its time as planned.

b) It is also necessary (if it has not been done yet) to define clearly what are the respective functions of the FCP Head and the LLS Coordinator regarding LLS, and the precise boundaries of those functions.

b2. M&E Officer Basic points:

The existing TOR are good. Perhaps a more detailed breakdown of activities will help the new staff member to develop his/her first workplan more effectively, helping that person to become operational more rapidly.

The following aspects are proposed as elements for that breakdown:

Planning:

- Support* outcome-based planning at site level
- Support* development of workplans at site level

**Support means communicating with each region, reviewing their drafts and providing constructive feedback, eventually working with them in-situ when things do not progress well*

Monitoring

- Set a basic performance monitoring system (if possible a simple web-based one)
- Monitor the compliance with performance monitoring (preferably on a quarterly basis)
- Develop a broad LLS proposal for outcomes monitoring. Present it and discuss it thoroughly with every site (11)
- Support* the development of outcome monitoring systems for each site (11)
- Organize the monitoring of other aspect presented in the LLS strategy document

Evaluation 1. Self-assessment

- Develop guidelines for self-evaluation at each site. These guidelines should include, among other aspects as performance progress, progress towards local and global outcomes, identification of key issues for the KM/Communications process (major achievements, new methods or approaches, lessons learned and similar) and adjustments of outcomes and/or indicators when necessary)
- Monitor the compliance with self-assessment (preferably on a quarterly basis, along with performance)
- Ensure that there is at least one self-assessment annual event in each site and develop the basic agenda for these events. Include an analysis of progress towards outcomes in these agendas.

- Monitor the compliance with self-assessment annual events
- Participation in selected annual self-assessment events

Evaluation 2. External evaluations

- Support external evaluations as indicated in the LLS Strategy document

Reporting

- Monitor the compliance with all types of reporting and provide effective feedback
- Preparation of internal reports for the entire LLS summarizing reports from the sites. These internal reports will fulfill the double purpose of informing the entire system about the progress of the LLS and providing feedback and evidence of reports use to the site partners
- Draft all external reports as required by donors and the LLS Strategy document

Knowledge Management

- Maintain a close collaboration and contact with the KM Officer, providing all pieces of information that be relevant
- Help the KMO to collect lessons learned, to identify audiences and to implement the different communications activities
- Jointly with the KMOW to implement a few selected M&E and KM activities aiming to develop a better understanding of each other functions and to gain better articulation and more efficiency

Candidates qualifications:

Regarding qualifications, a few aspects to be considered in relation to the existing ones are:

- Seven years of experience in PM&E is perhaps too much. Within IUCN the pilot M&E process started just in 1997 and only in selected regions. At the time of the interviews it is important to check what is the planning, monitoring and evaluation approach preferred by the candidate. Outcome-based planning and monitoring is relatively new and it requires a considerable shift from the once championed rigid approach embedded in ZOPP and similar approaches now abandoned.
- It is essential for the M&E Officer to have direct personal experience in implementation of field projects. The implementation model of LLS requires a person with that experience (at least 2-3 years); having fulfilled the M&E function from an organization HQ or from a capital city in the developing world does not qualify the person to fulfill the function. It is not necessary for the person to have performed the M&E function in the field (this is very difficult to find), but it is necessary for the person to have actual field experience.
- Another required condition is willingness and availability for extensive traveling. I would say tentatively that the M&E Officer should spend 25-30% of her/his time in the field, visiting Projects, providing support, attending internal M&E events, etc. A "remote controlled" M&E function will simply not work for LLS.

b3. Knowledge Management / Communications Officer

The analyzed TOR are obviously just at the early stages of its preparation. Therefore, the KM functions are outlined briefly but still not well defined. Therefore, some ideas about KM content focus, operational principles and candidate qualifications are offered.

The LLS Programme document provides an initial insight in terms of contents and aspects to be considered into this area as follows:

> The learning framework will encompass four specific elements:
>
> 1. Exploring the eight guiding assumptions (see below):
>   - answering major forest conservation questions
>   - providing feedback for monitoring and to assist action-learning
> 2. Operational learning:
>   - learning how to drive and direct change
>   - understanding partnership arrangements, co-financing arrangements, implementation issues
>   - understanding how new knowledge can be turned into real change
> 3. Policy-practice loop:
>   - learning and testing how lessons learnt from the field can more effectively feed into policy dialogues and how progressive policy changes can be more readily implemented on the ground.
> 4. Communication:
>   - making knowledge relevant to users
>   - focusing on how to achieve optimal impact of messages
>
> *Guiding assumptions*
>
> **Assumption 1**: *Natural resources make a significant and effective contribution to rural livelihoods and, in combination with other social and economic interventions, assist in achieving tangible reductions in rural poverty rates.*
>
> **Assumption 2:** *Decentralised and devolved natural resource management can act as a stimulus to rural income generation, and thus contribute to local economic growth when the benefits and costs of both resource utilization and conservation are fairly distributed.*
>
> **Assumption 3:** *The benefits that could accrue to the rural poor from greater access to natural resources or emerging markets for environmental services will be limited unless associated rights to market, trade and the ability to retain earned income have first been clearly and equitably addressed.*
>
> **Assumption 4:** *Negotiated, non-regulatory mechanisms to promote best social and environmental practice among individuals, communities or private companies can result in tangible net benefits for both biodiversity and rural incomes.*
>
> **Assumption 5:** *Clear property rights and secure tenure for poor people are necessary preconditions for negotiations to successfully and equitably balance trade-offs between local and global needs.*
>
> **Assumption 6:** *Practical progress in forest-related governance and law enforcement can be positively influenced by the degree to which the associated dialogues and planning processes (including Voluntary Partnership Agreements) are open, inclusive and transparent.*
>
> **Assumption 7:** *Forest landscape restoration presents a major opportunity to expand production, recover ecosystem functioning and fight poverty without accelerating the loss of forests and forest biodiversity.*
>
> **Assumption 8:** *The combination and sequence of interventions at various scales and their interactions across scales profoundly influence the degree to which land-use productivity and biodiversity can be sustained at the landscape level.*

Based on these contents, what remains is to establish the working principle for knowledge management and communications.

Operational principles

A few operational principles can be outlined for the Knowledge Management Officer (KMO) in these regards:

1. It is essential to maintain the KM system focused on specific contents. As a starting point the contents included in the text box at the previous page can serve to define an initial set of issues to be adjusted later by the LLS Implementation Team. Drifting away from the defined contents should be avoided strictly, as one of the most common mistakes in KM systems is spreading too thin and finally achieving very little and too generic.

2. Knowledge and learning are a result of the field experiences. But describing field experiences does not help to extract the lessons and the knowledge; it is necessary to relate them to a larger conceptual framework that is being developed and built as the LLS is implemented. Therefore, I many cases the local staff will not have the skills to extract those lessons and to relate them with the mentioned framework; this task should be undertaken by the Coordination Unit and its partners (e.g. Thematic Leads). The KM Officer should play a central role in this task, involving extensive traveling, facilitation of small workshops and meetings and knowledge of the conceptual framework to articulate lessons and experiences into it.

2. LLS is not the only process of this type in the world. There are other processes run by IUCN and many other organizations where learning is also happening and whose lessons and experiences are also valuable for LLS. Therefore, the KMO should also stay aware of these developments either directly through direct contacts with those processes or indirectly through the permanent contact with other LLS staff and consultants and the regular reading of documents.

3. The growing knowledge accumulated around the different themes and issues mentioned in the text box at the previous page should be organized and maintained in an accessible way, either as an accessible collection of documents or an "intelligent concept map" (an electronic concept map hyperlinked to documents and other sources) or any other tool.

4. The final, but not easier, step is the communications of the knowledge. That requires a good definition of key audiences (to be done by the KMO and adjusted periodically by the Implementation team) and the identification of the better mechanisms to communicate with them. In some cases outward one-way messages are enough because the audience(s) are not interested in establishing dialogues; in other cases more rich double-way systems to interact with other audiences will be necessary. Therefore, the communications strategy should be flexible and able to operate through different media and channels such as website, e-mail lists, publications, electronic for a, meetings, participation in conferences, newsletters, mass media, etc. The use of the communications means of other partner organizations (as their newsletters, websites, etc.) should be considered as a priority.

5. The preparation of materials for different audiences about a variety of issues will require a special effort and the participation of a good number of the extended team members in order to develop materials of interest for different audiences and using styles and wording appropriate for these audiences. One of the well known key aspects of good communications is to convey messages that are relevant to the work and experience of the receivers and accessible to them, in order to catch and maintain their attention and to detonate answers and the subsequent interactions. Needless to say, translation into different languages is a must.

Candidates Qualifications

Starting by what has been outlined, some of the qualifications for the KMO need to be re-examined. KM in the context of LLS needs a person with direct experience in field work and an inclination and skills for facilitation, team working, writing and communications targeted to specific audiences.

The personal opinion (not stated fact) of the reviewer is that a journalist /communications/public relations person will not have the understanding of the issues to be able to implement the function properly; moreover, it may be easier to complement her/his work with the capacities of the IUCN Communications Unit (in terms of image, design, etc.) than to complement the skills of a communicator with understanding of the issues, identification of adequate language for the different technical audiences, etc. as this is person should also work in close cooperation with the M&E person in some areas (such as identification of useful experiences, good and best practices, lessons learned) their communication will be much easier if both have a good understanding of the issues and field experience.

From the reviewers point of view the desirable skills also need to be adjusted to incorporate knowledge, skills and experience in:

- Methodological knowledge on systematic analysis of experiences and extraction of lessons learned
- Facilitation of small groups
- Some field training experience
- Capacity to write for different audiences
- Capacity to delegate tasks
- Capacity to coordinate and manage the work of several people working on different things such as different writers, relations with different communications partners, editors, web managers, etc.
- I will not require proficiency in Dreamweaver as a requisite; website design and maintenance can be outsourced easily to less expensive places in Latin America or Asia, as well as translations into other languages.

c. Workplans and internal meetings

These are well known activities, therefore there is not much to be said about them. Perhaps the most important point about them is that they should be done and better if they are done formally.

It is very common for managers and staff at the top level (as in the Coordination Unit) to demand others to prepare workplans but not to bother themselves with this task. This is not only wrong because of the implicit message it conveys to the parts, it is also wrong because in highly loaded agenda as LLS Coordination many key issues will be forgotten unless they are duly planned. So, whatever time that can be gained by not planning is quickly lost by inefficiency, drifting out and undone tasks.

The same can be said about internal meetings. It is very easy to let them be continuously postponed because of other "urgent" or "pressing" things. The result is usually a growingly incoherent team leading to growingly inconsistent activities, gaps and inefficiency. Moreover, a decentralized model as LLS requires a tight coordination operation, and regular and efficient meetings (with an agenda, expected products, etc.) are a key piece in developing efficient coordination.

AJI / May 30, 2007

ANNEX 11

IUCNFOREST CONSERVATION PROGRAMME REVIEW

PRELIMINARY PAPERS

ANALYSIS OF LLS IMPLEMENTATION AND SUPERVISION ARRANGEMENTS IN ASIA

Alejandro C. Imbach – June 2007

INTRODUCTION

Preliminary Papers (as this one) are short reports generated during the review process to address urgent issues emerging from the review process, and usually requested by the reviewed units. The nature of the paper is preliminary because they are delivered before the review process is completed, therefore they are subjected to changes and adjustments depending on the facts, evidence and interpretations than may emerge at later stages of the review.

The Livelihoods and Landscapes Strategy (LLS) is the largest undertaking of the Forest Conservation Programme (FCP) since its beginning. It was recently approved in late 2006 and it is now going through its first implementation stages. IUCN Asia Region has the largest block of field sites (4 over a total of 11) to implement, 3 of them in countries new or relatively new to IUCN (China, India and Indonesia). Given the highly relevance of Asia for LLS and the high relevance of LLS for the entire IUCN, this specific analysis of the situation was prepared.

LLS IMPLEMENTATION MODEL

LLS is planned to be run as decentralized initiative implemented at site level by IUCN Regional Programmes and partners and coordinated by the FCP. This model has a different base compared with other processes that are implemented directly by the pertinent Global Programme or by IUCN local teams hired by the Project and reporting to the Project.

The approach taken by LLS is expected to generate more ownership at the stakeholder level, and then to increase both the efficiency and the sustainability of the activities. The eleven geographical sites and countries considered in LLS are:

Asia

12. Mekong Region / Cambodia, Lao PDR, Thailand and Vietnam
13. South Asia / India
14. Western China / China
15. South-east Asia / Indonesia

Western & Central Africa

16. Upper Guinean Forest Landscapes / Ghana and Liberia
17. Sahelian Landscapes / Burkina Faso, Mali and Sudan
18. Congo Basin / Cameroon, Congo Brazzaville and the Central African Republic

Eastern and Southern Africa

19. East and Southern African Forest Landscapes / Uganda, Tanzania and Mozambique
20. African Great Lakes / Burundi, DRC and Rwanda

Central & South America

21. South America / Brazil
22. Mesoamerica / Mexico, Guatemala and El Salvador

LLS will also run at different spatial scales (or complexity levels) from local to national to regional to global. Therefore, different and specific stakeholders and processes should be addressed at each level and some articulation processes should be developed and maintained across these levels.

In addition to the geographical components, there are 6 cross-cutting themes each with their own budgets and theme leaders that will add value and generate global products by working in collaboration with the geographical components of the LLS.

Finally, but not less important, there are four key thematic components running across the entire Programme: Poverty reduction, Governance, Landscape restoration, and Markets & Incentives. All these components are highly relevant to the IUCN Intersessional Programme 2009-2012.

IMPLEMENTATION ARRANGEMENTS IN ASIA

The IUCN Asia Regional Office is structures in a decentralized way, with a strong base in the different countries of the region where the Programme is active (nine in total). The Office has gone through 2 stages of reorganization: during the first one, the Regional Thematic Programmes were clustered in two Ecosystems and Livelihoods Groups, one based in Bangkok and the other in Colombo; the establishment of a third Group is included in the longer-term plans. The second stage consisted of the clustering of the Country Programmes, and today there are 2 Country Groups, one including the Lower Mekong countries (excluding Thailand) and the other includes the existing Programmes in Pakistan and Nepal with a mandate to develop new Programmes in Afghanistan and Bhutan. A third Country Group is also in the plans, gathering at least Sri Lanka and Bangladesh; it has not been decided yet if China and India are going to be integrated in Country Groups or if each one of them are going to be considered as equivalent to a Country Group given their size and population.

The reorganization process in Asia is still an on-going process as several aspects are being analyzed; some of them were mentioned in the previous paragraph but there are also another different and important ones such as the roles of each Group and the funding model for the entire system, among others.

LLS is going to be implemented in Asia by the described structure. This issue was thoroughly and timely analyzed and the basic decision was that the activities at each of the field sites are going to be run by the pertinent Country Group (or Country Programme if there are no groups). As there is no Programme in Indonesia, the activities there will be implemented by a partner, the Samdhana Institute, under the supervision of the Asia Regional Forest Programme. It was also established that Asia Regional Forest Programme will hold the overall accountability for the LLS in the Asia Region. Based on these arrangements, when the Project was approved, the budgets were defined and the overall planning process launched timely.

From this brief summary, it seems evident that the implementation arrangements are right and well aligned with the priorities and mechanisms of both FCP and ARO. Moreover, a quick verification of progress shows that the planning process is moving ahead well (better in some places than others) and aligned with the overall progress of the entire LLS that began in January 2007 and who expects to have sites workplans by end of August 2007 in order to make disbursements for immediate beginning of implementation at site level.

REGIONAL SUPERVISION / COORDINATION NEEDS

LLS supervision/coordination needs are very demanding in general, not only in Asia. This is due to a combination of elements, among them:

- Decentralized implementation
- Several levels of action (local, national, regional, global) that should be interconnected
- Simultaneous focus on different complex areas (poverty, governance, landscape restoration, markets).
- Heterogeneous levels of understanding in the different sites about the conceptual meaning of some key concepts as landscapes, livelihoods, governance and others, as well as how to deal with them in practical field situations.
- Emphasis in capacity building (internal and external)
- Emphasis in knowledge management. As a process, KM in LLS should be able to establish meaningful baselines, collect, analyze, organize and distill data, experiences and lessons learned in the field sites and convert them into inputs to influence policy at different levels

Moreover, and not explicitly stated, LLS is basically a golden opportunity for the Regional Offices to use the LLS experiences, sites and resources to leverage other funds and develop fully-fledged field interventions. In that sense, it is useful to remember how a similar model run previously by WANI was used strategically by different Offices as a starting point to develop larger initiatives. Needless to say, these processes do not happen by default and it is necessary to allocate time of capable and experienced persons to develop them.

A quick (and quite imperfect) attempt to define the tasks to be undertaken under the LLS supervision functions includes:

11. Supporting the development of a clear and agreed understanding of the key concepts underlying the initiative. Some of them are fairly new and not well developed, despite being already adopted in the jargon, such as “landscapes”, “livelihoods” and other. These support should also include ways to have these concepts operational in the field.
12. Supporting the Outcomes based planning and Annual Workplans at the sites
13. Close implementation oversight, not in terms of command-and-control but in terms of follow-up, support and capacity building (especially for establishing baselines, applying the sustainable livelihoods framework, facilitating multi-stakeholder dialogues, planning for forest landscape restoration, applying the NTFP market analysis and development toolkit, identifying and addressing forest law enforcement and governance obstacles)
14. Budget management oversight
15. Supporting the work, coordination and negotiation with partners in the sites
16. Supporting and maintaining the relationship with partners and other stakeholders
17. Oversight and support to the implementation of the M&E system, including both regular reporting and extraction of lessons
18. Support and oversight of the knowledge management process, from the identification and synthesis of useful experiences, practices and lessons from the field to the delivery of targeted knowledge products to the different LLS audiences.
19. Close collaboration and contact with the LLS Coordination Unit at IUCN HQ and membership of the LLS Implementation Team
20. Facilitating the work of the Regional Implementation Team

For this supervision to be successful, it is necessary:

- to identify all required functions (probably exceeding those listed above)
- to have a specific person in charge,

- to identify and scheduled specific outputs and tasks on an annual basis as the basis to develop an LLS Asia Supervision Workplan to self-monitor proper implementation of the supervision tasks and as a model for other pertinent supervision processes at CG, Country and site level.

SUPERVISION / COORDINATION ARRANGEMENTS IN ASIA

As described above, the overall supervision of LLS in Asia is under the responsibility of the Asia Regional Forest Programme (Asia RFP) that is a part of the Ecosystems and Livelihoods Group 1 (ELG1) based in Bangkok.

The Asia RFP has a relatively long and successful story in the Asia Region. So much, that this Programme and the Water and Wetlands one were the base for the establishment of ELG 1 in the first stage of the ARO reorganization in 2003. Moreover, the Head of the Asia RFP (Andrew Ingles) was appointed as Head of ELG1 since the beginning, and remains in that position.

After the establishment of ELG 1 a new person was appointed as Coordinator of Asia RFP (Guido Broekhoven). During this time the IUCN FCP, jointly with several IUCN regional forest programmes (Asia included) developed, submitted and negotiated a new global Project centered in forests governance with the European Union, named Strengthening Voices for Better Choices (SVBC). In a very innovative decision, FCP decided to have this Global Project implemented from a Regional Office and ARO was the chosen one to host it, given its history and performance record over the years. Guido shifted from Asia RFP Head to SVBC Project Coordinator in mid-2005. SVBC is a Project with field sites in 6 countries from 3 continents (Brazil, RD Congo, Ghana, Tanzania, Sri Lanka & Vietnam) so its coordination does not leave time to undertake other activities.

In a parallel process, ELG1 hired a Programme Coordinator (TP Singh) who, besides his ELG1 activities was, and still is, heavily involved in the development of the IUCN Office in India, formally open in January 2007, but whose negotiation took more than 2 years, involving long and significant efforts from the Regional Director and several senior regional staff members.

After giving its senior staff members to ELG1 and SVBC, the Asia RFP stayed without a Coordinator since mid- 2005 up to now (mid-2007) being run as a secondary assignment by the Head of ELG1 and on a part-time basis by ELG1 PC. This level of effort was enough to cover the needs of the LLS development and negotiation phase (mostly done by the FCP at IUCN HQ) and the provision of supervision and support to SVBC.

Unfortunately, the demands emerging from the LLS implementation and the needs for supervision cannot be adequately covered by the existing arrangement and an adequate supervision and coordination arrangement is urgently needed to ensure that the LLS implementation does not stumble in Asia.

In this regard, it should be remembered that Asia is in a vulnerable situation regarding LLS because the largest number of LLS sites are in Asia and because, by mere chance, the technical expertise of the global FCP and LLS Coordination Unit has been built through the staff's experiences in Africa. Moreover, 3 of the 4 sites are in countries where IUCN ARO has a relatively recent presence and where there is no IUCN experience in implementing large field projects (China, India, Indonesia). As said in the previous chapter, all these conditions point out to a very demanding supervision and coordination function at the regional level. Fortunately, funding this function seems not to be a major problem.

Alternatives

The following alternatives as offered just as a way to open the discussion on this subject. This Review is not aimed to the IUCN Asia Office; moreover, this Office is moving along its own reorganization process so there surely are implications in this regard that escape whatever can be perceived in a short visit. Therefore, the recommendation is about opening a discussion about this issue and finding a solution (hopefully one that can stay at least for the next couple of years in order to provide enough time for the LLS implementation to consolidate).

The alternatives briefly explored in the next paragraphs are:

1. Hire a new person (either as Asia RFP Coordinator or LLS Supervisor or other name). This seems the most straightforward solution, but from the reviewer perspective this is the less desirable one. Finding and hiring a new person will take 3-4 months. For a new person coming into a reorganizing Region of a complex organization who is starting a new and complex Project this means a steep learning curve of, at the very least, another 3-4 months. This is too late for LLS. LLS needs more attention and support immediately as the Programme is barely on time and there are several things to be done quickly. Moreover, hiring a new person also implies the possibility of such new person not being fit for the position, and that can lead to serious problems if it happens.

2. Doing nothing and hoping that the capacities in place around Asia are going to be enough to cope with the LLS challenges. There are good capacities in the Asia Region so this is not a crazy option. From the reviewer perspective this option is also undesirable for two reasons: one, is that there is no "Plan B" and that means taking risks affecting not only Asia but IUCN in general when there is no need to do that. The second is that even when the current structures may be able to cope with everything, most probably they are not going to go further than achieving the outputs; therefore, the LLS potential as an "incubator" of new initiatives is not going to be developed and one of its most significant potential values of LLS is going to be lost.

3. To shift an Asia staff member from its current function to this one. The obvious choice is the Head of ELG1 because of his experience in the region, in IUCN Asia and in LLS itself. From the reviewer perspective this is the best of all choices for LLS, despite the fact that it also implies a sacrifice by the Asia Programme. Finding an adequate position for this function also deserves some discussion between the parts as the LLS supervision and regional coordination can be attached to the ELG1 position, or the ELG1 Head can be shifted back to Asia RFP Coordinator or a new position (as Senior Forestry Advisor) can be created. As this is the preferred option for the reviewer, these alternatives will be explored a little more.

- Attaching LLS regional supervision / coordination to ELG1 Head position. This can work only if a number of other responsibilities are shed from the ELG1 TORs. Otherwise the LLS function is not going to be fulfilled and this alternative will be the same as doing nothing.
- Shifting the present ELG1 Head to the RFP Coordinator position. This shift has implications over ELG1 that deserves a short analysis. ELG1 is now 4 years old and its operation is well established, therefore this seems to be a structure that can be sustained with less management, and probably it can be managed on an interim basis by the ELG1 PC or the Asia PC. A new person can be hired for the ELG1 position, or after a couple of years (once LLS is consolidated) the current Head can return to this position, or some other things may happen depending on the evolution of the Asia reorganization process. But, both for IUCN Asia and the involved person, taking responsibility for the largest portion of the IUCN largest global project is a step worth doing given the global and regional implications of this initiative, and also considering that it can be managed as a temporary arrangement for a couple of years. The advantage of this alternative is that it effectively separate LLS work from ELG1 work, ensuring that the function is fulfilled. It should also allow for a larger involvement of the RFP in the forestry aspects of other initiatives (as MFF, among others).

- Shifting the present ELG1 Head to a Senior Advisor position. It has the same implications as the previous one with two differences: one is that it looks more permanent. The second, and most important, difference is that this option opens the way to pursue and discuss the possibility of setting a mixed global/regional position shared between FCP and ARO that can be of benefit to all parts. Global FCP can get a needed reinforcement from a senior person to compensate partially for the senior staff that moved to LLS coordination. For Asia, it is an opportunity to engage in larger scenarios bringing into them all the experiences and lessons learned in this region. In this scenario, besides supervising / coordinating LLS in Asia and taking care of other forestry-related activities in that region, the Senior Advisor should contribute significantly to the explicit goal set by Stewart Maginnis about maintaining and expanding FCP while implementing LLS.

In any case, this issue is something that should be addressed urgently and explicit decisions should be made and reflected in the necessary and pertinent TOR, Position descriptions, Internal Agreements and other procedure instruments used by IUCN.

A final remark is that there is no serious problem yet, but there is a clear risk of having one very soon (eventually, as soon as in 3 months at the end of the so called "100 days"). Therefore a clear action now has the potential not only to avoid those problems but also to contribute to set a stronger base for a successful implementation of LLS in Asia and worldwide.

AJI, June 22, 2007