

IUCN – The World Conservation Union

**THE KNOWLEDGE PRODUCTS AND SERVICES
STUDY**

**ADDENDUM TO THE 2004 EXTERNAL REVIEW OF THE IUCN
COMMISSIONS**

May 2004

Acknowledgements

In our main Review report we note that the review of the Commissions of IUCN has been a challenge and an opportunity. A challenge because each Commission is almost a world in itself with different types of expertise organised around groups of specialists that are dedicated to carry out specific tasks for the Mission of IUCN. An opportunity because the Commissions, for all their diversity share a common purpose and face some common challenges in a changing internal and external environment.

The Review also provided an opportunity to develop and use new methods. The *Knowledge Products and Services Study* tested methodologies to track the effects of key Commission products and services on intended users and to determine whether they would contribute to the IUCN Programme as well as the global environmental agenda during the next Intersessional Period. The study forms part of IUCN's move to improve its knowledge management approaches and systems, and to develop ways to assess and understand the influence and impact that it is having in the world.

The people who were interviewed for the *Knowledge Products and Services Study* are listed in Annex 3. We are grateful to all those who participated in the surveys and interviews and who gave generously of their time to share with us their experiences and opinions of the Commissions' knowledge production and outputs.

The Review Team had the support of a dedicated research and data support team working with us on the *Knowledge Products and Services Study*. The major contributions of Lise Kriel in South Africa and Alex Moiseev in Canada are especially appreciated. We are also grateful to the rest of the South African team, Frans Swanepoel, Aldo Stroebel, Valerie Galichon and Donna Podems, for working so well under pressure of time.

We hope that the *Knowledge Products and Services Study* of the Review will be a useful input into the deliberations of IUCN, and the Commissions in particular, as they refine their knowledge management approaches and develop strategies to enhance their impact.

Anne Whyte
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Note to the Reader

The *Knowledge Products and Services Study* of the External Review of the Commissions focused on the quality, relevance and effects on intended users of the knowledge products and services of the Commissions.

The key findings of this Study are included in the main Review report. This Addendum provides a more detailed description of this component of the Review, in particular the methodology used, the nine case studies and the analysis of 109 Commission knowledge products.

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Acronyms

ADB	Asian Development Bank
APCEL	Asia-Pacific Centre for Environmental Law
CBD	Convention on Biological Diversity
CBNRM	Community-Based Natural Resources Management
CEC	Commission on Education and Communication
CEC NMP	Case study product of CEC (refer to Annex 1)
CEESP	Commission on Environmental, Economic and Social Policy
CEESP BTBR	Case study product of CEESP (refer to Annex 1)
CEESP PM 12	Case study product of CEESP (refer to Annex 1)
CEL	Commission on Environmental Law
CEL CBEL	Case study product of CEL (refer to Annex 1)
CEL Flow	Case study product of CEL (refer to Annex 1)
CEM	Commission on Ecosystem Management
CEM UEA	Case study product of CEM (refer to Annex 1)
CENAGREF	Centre National de Gestion des Réserves de Faune
CENESTA	Centre for Sustainable Development (Iran)
CEPA	Communication, education and public awareness
CIS	Commonwealth of Independent State
CITES	Convention on International Trade of Endangered Species
CSD-12	(UN) Commission on Sustainable Development, Twelfth Session
DEM	Data Entry Module [of the SIS]
CMWG	Collaborative Management Working Group
CMS	Convention on Migratory Species
CNAP	Comisión Nacional de Areas Protegidas
COP	Conference of the Parties
CFR	Community Forestry Research
ECNC	European Centre for Nature Conservation
EIA	Environmental Impact Assessment
ELC	Environmental Law Centre
EMP	Ecosystem Management Programme
ESCAP	(UN) Economic and Social Commission for Asia and the Pacific
ESD	Education for Sustainable Development
GAA	Global Amphibian Assessment
GBF	Global Biodiversity Forum
GEF	Global Environment Fund
GETI	Group on Environment, Trade and Investment
GMA	Global Mammal Assessment
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit
IATP	Institute for Agriculture and Trade Policy
ICEL	International Council of Environmental Law
ICTs	Information and communications technologies
ICTSD	International Centre for Trade and Sustainable Development
IGO	International Governmental Organisation
IISD	International Institute for Sustainable Development
IPR	Intellectual Property Rights
IUCN	The World Conservation Union
IUCN EARO	IUCN Eastern Africa Regional Office
IUCN ROSA	IUCN Regional Office for Southern Africa

KPS	Knowledge products and services
KRA	Key results area
M&D	Masters and doctoral
M&E	Monitoring and Evaluation Unit
MAB	Man and the Biosphere Programme
MDG	Millennium Development Goal
MEA	Millennium Ecosystem Assessment
MEA	Multilateral Environmental Agreement
MMSD	Mining, Minerals and Sustainable Development
MODE	Mobilisation and Development
NGO	Non-governmental organisation
OMC	Organisation Mondiale du Commerce
PA	Protected area
PBIA	Policy, Biodiversity and International Agreements
PEBLDS	Pan European Biological and Landscape Diversity Strategy
PELA	Pakistan Environmental Law Association
RCF	Regional Conservation Forum
RLC	Red List Criteria
PRSP	Poverty Reduction Strategy Paper
SBSTTA	Subsidiary Body on Scientific, Technical and Technological Advice
SC	Steering Committee
SG	Specialist Group
SIS	Species Information Service
SSC	Species Survival Commission
SSC RLC	Case study product of SSC (refer to Annex 1)
SSC SIS	Case study product of SSC (refer to Annex 1)
TILCEPA	Theme on Indigenous and Local Communities, Equity and Protected Areas
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNITAR	United Nations Institute for Training and Research
UNU	United Nations University
US EPA	United States Environmental Protection Agency
USAID	United States Agency for International Development
WAMIP	World Alliance of Mobile and Indigenous Peoples
WANI	Water and Nature Initiative
WCC	World Conservation Congress
WCPA	World Commission on Protected Areas
WCPA EE	Case study product of WCPA (refer to Annex 1)
WESCAN	West/Central Asia and North Africa
WGSL	Working Group on Sustainable Livelihoods
WHS	World Heritage Site
WPC	World Parks Congress
WTO	World Trade Organisation
WSSD	World Summit on Sustainable Development
WWF	World Wildlife Fund

1. Introduction

1.1 Purpose of the Study on the Knowledge Products and Services

For many years IUCN and its expert Commissions have marketed and promoted their niche, core competencies and comparative advantage based on the capacity to produce and disseminate state of the art knowledge drawn from a wide range of experts and practitioners world wide. Well known IUCN Commission products such as the SSC Red List of Threatened Species and the series of WCPA Guidelines on Protected Areas have been in existence for many years and there is no doubt that they have contributed to the worldwide credibility and reputation of IUCN.

At the same time there have been increasing demands for IUCN to demonstrate the influence and impact that it is having on the state and condition of ecosystems and the sustainable livelihoods of people, and to demonstrate the relevance, effectiveness and efficiency of its work. External Reviews of IUCN (1996, 1999 and 2003) have recommended that if IUCN wished to maintain its place as a world respected leader in conservation, it needed to improve its capacity to learn from experience and be able to demonstrate its impact, influence and added value to global and regional conservation efforts.

In response to this challenge IUCN has put in place systems and capacities at global and regional levels to plan, monitor, evaluate and report on the delivery of results. However, this is not yet adequate to demonstrate the influence and impact of the organisation's work. It is therefore not yet possible to determine if the use of IUCN products and services actually lead to the intended changes and impacts. As IUCN moves to a system of monitoring and reporting on outcomes during the next Intersessional Period, one of the first steps is the development and testing of a methodology to monitor and evaluate the influence of key IUCN products and services. This will then be used to integrate the practice into ongoing programmatic and evaluation work.

The SSC CITES Evaluations served as a pilot for this approach. These evaluations aimed to assess the influence of SSC's technical analyses to the CITES COP in 2001, 2003. The 2004 Review of the IUCN Commissions offered a further opportunity to assess the influence of a selected set of knowledge products and services of the Commissions. This component of the Review, the *Knowledge Products and Services Study*, could contribute to the overall assessment of the Commissions' work and further develop methods to track the use of IUCN's knowledge products and services. These piloting experiences are supported by other institutional initiatives such as the upcoming evaluation of IUCN's policy influence and the ongoing Study on Knowledge Management.

At the most basic level, the Knowledge Products and Services study was to focus on the feasibility of knowledge product and services tracking processes. Could it be done? Was the necessary information available? At an institutional level, more had to be learned about what the elements and standards of a knowledge products tracking process should be. Finally, this study was to determine the effects of the Commissions' knowledge products and services on intended users during the current Intersessional Period, as well as the extent to which they would support the IUCN Programme and the global agenda during the next Intersessional Period. The results from this component of the Review were therefore also to provide forward looking suggestions for improvement of the knowledge management of the Commissions.

This report is an Addendum to the main Review report. It gives detailed descriptions of the case studies and provides additional information about the methods and findings of the knowledge products and services part of the Review.

1.2 Defining Knowledge Products and Services

We have defined *knowledge products* as the *tangible* outputs of the knowledge flows across IUCN through which knowledge is generated and mobilised, modelled, deposited and systematised, distributed, used, evaluated and transformed. They form an integral part of the results chain of Commission activities and are the tangible outputs of the Commissions' progress towards their intended programme outcomes. IUCN knowledge products include books, reports, guidelines, action plans, newsletters, journals, policy briefs, electronic portals, videos and lessons synthesised from processes and projects. For the purpose of this study we have also included the tools to acquire and organise knowledge such as databases and repositories.

Knowledge services are those services that the Commissions render to audiences and clients within and external to IUCN, using their tacit and explicit knowledge - the latter often embodied in the knowledge products. Examples include the provision of technical advice, capacity building initiatives and the implementation of certain types of field projects.

1.3 The Approach to this Review Component

We took a two-pronged approach to this component of the Review:

- Detailed case studies of nine selected products and services across the Commissions (seven products, one service, and one that can be regarded as both a product and a service);
- A desk analysis on a limited number of dimensions of 109 main products of the Commissions produced during this Intersessional Period.

We used case studies to gain insight into factors that influence the use of these products and services, to determine their effects if any on targeted users, and to assess whether these effects were contributing to the outcomes sought by the Commissions and by IUCN. They also availed us of the opportunity to test and develop a methodology for tracking the use and effects. The main questions to be answered were:

- What, or who, is driving the production of the outputs?
- Are they produced in a timely manner to have relevance and impact?
- Are they considered to be of high quality and at the cutting edge of their fields?
- Are they carefully targeted at the right audiences?
- Are they disseminated so that they are available and accessible to their audiences?
- Is there evidence of use, results and influence as a result of these products and services?
- Are the Commissions' outputs aligned with the global agenda and with that of IUCN?

The short timeframe for the Review (27 January to 21 March 2004) placed a number of limitations on the Review team. The number of interviews per output and the sampling strategy were most affected. Limited use could be made of snowball sampling, where one user identifies others for interviewing. Tracking down potential users based on regional

and/or organisational representation proved to be a challenge if their responses were not received in time. Surveys had to be conducted to increase the number of potential user responses.

The case studies were complemented by the results of an analysis of 109 Commission products based on sets of criteria designed for this purpose. Aspects analysed were the geographic focus of the content; the language of publication; the alignment with the IUCN 2005-2008 Intersessional Programme; and their potential contribution to the global poverty-environment agenda.

1.4 Methods

1.4.1 Selection of the case studies

The selection of the case study products and services was done in consultation with Commission Chairs and Focal Points. They were designed to optimise opportunities for learning and their selection was thus based on several criteria developed to ensure diversity (Box 1.1).

BOX 1.1 CRITERIA FOR SELECTING CASE STUDY PRODUCTS AND SERVICES
<ul style="list-style-type: none"> ○ Of primary interest to Commissions ○ Provided within Intersessional Period 2001-2004 ○ Diversity in terms of type of output and when produced ○ Feasibility of tracing use and influence ○ Global reach (only limited focus on regional outputs) ○ Example(s) of joint initiatives between Commission and Secretariat included ○ Example(s) of services included ○ Policy related products limited (in view of upcoming evaluation of policy influence initiative)

A list of the nine case studies is attached as Annex 1. Acronyms to denote each case study product or service are used throughout the report (Table 1.1).

Table 1.1 Acronyms used for the case study products

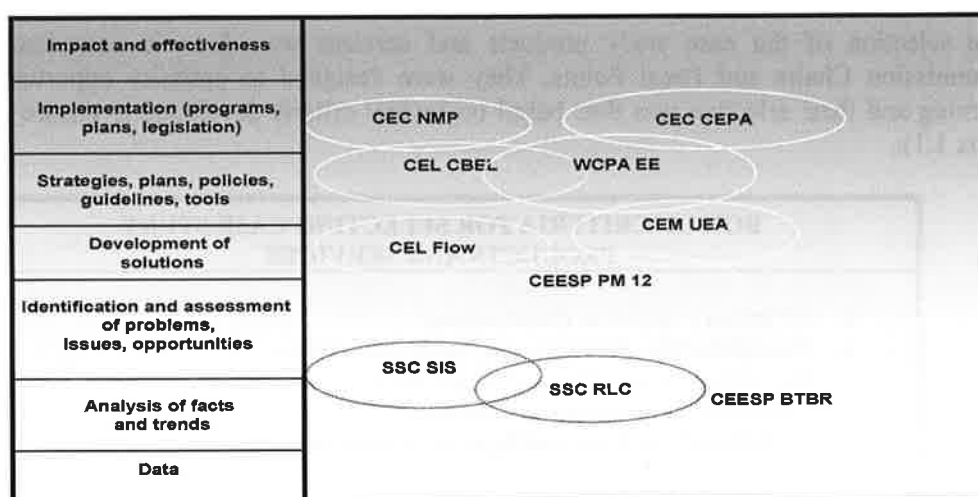
Acronym	Product/Service¹
<i>CEM UEA</i>	Using the Ecosystem Approach to Implement the Convention on Biological Diversity – Key Issues and Case Studies
<i>CEC NMP</i>	Nature Management in Partnership
<i>CEESP BTBR</i>	BRIDGES Trade BioRes
<i>CEESP PM12</i>	Policy Matters, Vol. 12. Community Empowerment for Conservation
<i>CEL CBEL</i>	Capacity Building for Environmental Law in the Asian and Pacific Region
<i>CEL Flow</i>	Flow – The Essentials of Environmental Flows
<i>SSC RLC</i>	Red List Criteria and Categories (Version 3.1)
<i>SSC SIS</i>	Species Information Service
<i>WCPA EE</i>	Evaluating Effectiveness – A Framework for Assessing the Management of Protected Areas

¹ For more comprehensive information on the case study products and services refer to Annex 1.

We used the concept of a “knowledge value chain” to help to categorise the case study products and services (Figure 1.1). At the same time we wanted to highlight it as a tool that could be used in future to (i) provide some form of typology or categorisation of IUCN’s knowledge products; (ii) contribute to an analysis of the portfolio of component programme or IUCN products and services; and (iii) demonstrate the different categories of products that can be created by adapting or enriching a product to serve a different purpose.

The concept of a knowledge value chain does not imply that in an organisational context one type of product is more valuable than another.

Figure 1.1 Distribution of the case study products and services on a knowledge value chain²



1.4.2 Data collection for the case studies

Data collection for the case studies was done through interviews, surveys and a document review. Triangulation - cross-checking of one source of information against others - was done wherever possible, but within the short timeframe this technique had its limitations. In such cases we tried to indicate this in the text.

A summary of the numbers of individuals who contributed through interviews and responses to the survey questionnaire (Table 1.2) shows that the Review team conducted some 157 interviews and obtained 174 survey responses, giving a total of 331 individual inputs for this part of the Review.

Note that we employ the term “users” when denoting *potential* users of the case study products and services. We thus apply the term for all the individuals who were contacted and provided inputs on the products and services through interviews or surveys – irrespective of whether they have *actually* used these products or services.

² This particular “knowledge value chain” was composed from several possible configurations. It can be adapted to suit different requirements and types of products.

Table 1.2 Summary of interview and survey respondents for the knowledge products and services part of the Review

MODULE	COMMISSION FOCUS										TOTAL
	CEM	CEC*	CEESP		CEL		SSC*		WCPA	Secretariat	
Product/service	UEA	NMP	BTBR	PM12	CBEL	Flow	RLC	SIS	EE	N/A	
Informant/producer interviews	8	7	11		6		9		6	N/A	47
User interviews	13	14	12	12	13	11	12	10	13	N/A	110
Surveys of users	21	N/A	14	47	8	6	N/A	N/A	62	16	174
Total											331
Survey response rates	8%	N/A	14%	11%	10%	5%	N/A	N/A	11%	Not available	

* Surveys were not conducted for CEC and SSC due to the short timeframe for the Review

Interviews

(i) Semi-structured interviews were conducted with *key informants* who were people with extensive insight into the work of the Commissions. Their names were obtained from the document review, Commission Chairs and recommendations by other key informants.

(ii) Semi-structured interviews were conducted with another set of key informants, the *knowledge producers* who were the generators of the knowledge products and services. These included the initiators, authors, editors and managers of the products and services. They were identified through document review and with the help of Commission Focal Points.

(iii) Structured interviews were conducted with 10-14 *potential users* per knowledge product or service. Limited probing was done in some cases.

We selected interviewees from distribution lists based on regional and organisational representation. In some cases we selected from recommendations by Commission Chairs and Focal Points. We had to accept that the small sample sizes would give us examples of use, but not a clear indication of the *extent* of use of a particular product or service. Contact details of those to whom a product was distributed or who participated in a service were not always readily available and in the limited timeframe it was more difficult than expected to track our targeted users for interviews. Many were out of reach, especially during the COP 7 meeting which took place during our sampling period. We focused on interviewing those users who were available and who had responded quickly to our invitation for an interview. As a result the regional and institutional representation of users was less successful than we had hoped.

Interviews were conducted in English, French or Spanish. The interview instruments are given in Annex 2 and the list of interviewees in Annex 3.

Surveys

For six of the seven products surveys were conducted among potential users to increase the sample size. Time constraints prevented surveys for the case study services and also necessitated the use of email distribution of the questionnaires. Selected Secretariat staff members received a special questionnaire, including Directors of national offices and Commission Focal Points. Overlap between Commission membership meant that some

members received several questionnaires. We became aware of the extent of this overlap only later through the results of the Web survey of Commission members.

The questionnaires (Annex 4) were distributed in English with letters in English, French and Spanish indicating that the questions were also upon request available in Spanish and French.

Regional and institutional representation

While only two thirds of the users who provided inputs into this study (refer to the definition of “users” given in section 1.4.2) were Commission members, we found a close correlation between the total number of Commission members in a particular region and the number of users who gave inputs from that region (Table 1.3).

Table 1.3: User inputs by Commission membership, statutory region and type of institution

Commission Affiliation	Number of users	% of users	
Commission members	183	64	
Not Commission members	82	29	
IUCN Secretariat	16	6	
Unknown	3	1	
<i>Total</i>	<i>284</i>	<i>100</i>	
Statutory Region	Number of users	% users from region	% Commission members in region
Africa	35	12	11
Meso and South America	25	9	10
North America and the Caribbean	48	17	23
South East Asia	32	11	16
West Asia	4	1	3
Oceania	23	8	7
East Europe, North and Central Asia	13	5	6
Western Europe	88	31	24
IUCN Secretariat (participants in special survey)	16	6	N/A
<i>Total</i>	<i>284</i>	<i>100</i>	<i>100</i>
Type of Institution	Number of users	% of users	
Academic institutions	47	17	
Private sector and consultants	23	8	
Specialised media	2	1	
NGOs	45	16	
International NGOs	17	6	
IUCN	22	7.5	
Government organisations and agencies	78	27	
EU, UN agencies	11	4	
Professional bodies/associations	7	2	
Donors	1	0.5	
Unknown	31	11	
<i>Total</i>	<i>284</i>	<i>100</i>	

Analysis of documentation

Relevant documents were reviewed (Annex 5), including Commission mandates, strategic workplans, Commission reports to Council, evaluations, the case study knowledge products and services documentation, book reviews and distribution information provided by the IUCN Secretariat and Commissions. Lists and copies of Commission knowledge products were obtained, from which a final list of 109 knowledge products was compiled for analysis.

Commission Websites were an important source of documentation. Not all references to material obtained from Websites are given in Annex 5.

Other methods

In some cases the number of downloads of products from IUCN or Commission Websites as well as book reviews provided additional information. We decided against using the number of citations in professional or research literature as indicator of use, as some of the Commission products were not aimed at this type of use and the complexity of analysis required for meaningful interpretation was beyond the scope of this Review.

1.4.3 Desk analysis of all knowledge products 2001-2004

Selection of the knowledge products and services

A list of 109 products produced in this Intersessional Period (Annex 6) was compiled from Commission records, work plans and progress reports. Only products clearly linked to one or more Commissions and clearly focused on imparting knowledge were selected. They covered a wide range of formats and purposes. There was a group that included policy positions, manuals, guidelines and action plans which was intended to influence change directly or provide users with tools with which to influence change. Another group sought to gather state of the art knowledge on specific topics in the form of books, reports, case studies, surveys and journals. Most Commissions also produced brochures, pamphlets and newsletters aimed at communicating their work to members and outside constituencies. Nearly all of these included synthesised knowledge, for example about projects, and hence were included in the list of products reviewed.

The mapping and analysis of the 109 products complemented the case studies in developing a better understanding of what the Commissions set out to do and what they achieved through their products. All products were analysed and mapped by language of production, geographic focus of content, theme, 2005-2008 Intersessional Programme results and the WSSD Plan of Implementation, which was determined to be the best representation of the current global agenda for the environment. For each knowledge product the reviewer studied the table of contents, the executive summary and/or introduction, and the rest of the content to the point where the product could be coded according to the review criteria (Annex 7).

Language: All knowledge products considered for the Review were written in English, French or Spanish. In rare instances they were published in all three. The language was noted in each case.

Region: The reviewer documented whether the product was produced for a specific region or for multiple regions. Where it did not have clearly defined regional audiences, it was noted as designed for a global audience.

Themes: The products were coded by basic key words describing the themes of IUCN Programmes in order to identify the theme(s) to which each product could contribute.

IUCN Programme: The knowledge products generated during the 2001-2004 Intersessional Period will have their greatest impact as they are used during the next few years. The products were therefore mapped against the 2005-2008 Programme to determine whether there is adequate resonance between the Programme and the work of the Commissions. They were assessed according to their link to specific results within the 2005-2008 Intersessional Programme. During this process the 2005-2008 Intersessional plans for each Commission

were consulted to establish the areas in which it was most likely to work during the next few years.

Normally knowledge products clearly link to the Knowledge Strategy of the IUCN Programme, and less so to the Empowerment or Governance Strategies. As the IUCN Programme is a results-based programme, the Empowerment and Governance Strategies describe changes in stakeholders' capacity or changes in governance structures. Only in very few cases, if the knowledge product had a very clear primary purpose to foster empowerment or influence governance rather than on knowledge generation or mobilisation, was it coded to those results.

The global agenda: In order to determine the potential contribution of the Commissions' knowledge products to the emerging global poverty-environment agenda, a suitable description of this agenda had to be found. Several possible frameworks were considered. The Millennium Development Goals are a set of seven target areas not comprehensively representative of the global agenda. Conversely, the PRSP process proved to include too much detail to be of use. The World Summit on Sustainable Development (WSSD) Plan of Implementation was eventually selected on the basis that it encompasses the Millennium Development Goals, the Poverty Reduction Strategy Papers, the Monterrey Consensus (on development financing) and the Doha Ministerial Declaration (on international trade).

While this was not an ideal document for the mapping exercise, it was the most comprehensive and concise framework available. It contains 170 paragraphs on actions the WSSD seeks to achieve, defined not as results in the truest sense, but rather as "actionable points". Of these 170 paragraphs 29 were judged to be the most representative of the types of activities in which IUCN tends to engage.

The knowledge products were coded to the appropriate paragraph in the WSSD Plan of Implementation if there was a basic match between the content of the knowledge product and the content of the WSSD Plan paragraph. The coding is reliable only at this level, as it was not possible to match the content of sub-paragraphs against the content of the knowledge products.

1.4.4 Development of the tracking methodology

The lessons learned during this study as well as a proposed methodology for the institutionalisation of the tracking of knowledge products and services are discussed in a separate paper.

2 Tracking the Knowledge Products and Services: The Case Studies

2.1 Commission on Ecosystem Management (CEM)

2.1.1 Case Study: *Using the Ecosystem Approach*

RD Smith and E Maltby. (2003). *Using the Ecosystem Approach to Implement the Convention on Biological Diversity: Key Issues and Case Studies*. IUCN. Gland, Switzerland and Cambridge, UK. X +118 pp.

The context

Knowledge production by CEM during this Intersessional Period has been negatively affected by the lack of institutional continuity after the resignation of the Chair. This has been compounded by simultaneous efforts to rebuild its membership and find new directions for its work. The Ecosystem Management Programme was launched in January 2002 to support the Commission's work and only recently has there been a marked increase in activity as working groups were established in four priority areas: (i) The Promotion of the Ecosystem Approach; (ii) Understanding and Promoting Ecosystem Restoration; (iii) Development and Application of Indicators of Ecosystem Status; and (iii) Development and Dissemination of Ecosystem Tools.

As a result CEM has produced only five knowledge products during this Intersessional Period, although the analysis of these products show that they have significant potential to contribute to the 2005-2008 Intersessional Programme (Table 2.1), mainly in KRA 5 (Ecosystems and Sustainable Livelihoods). For more information on the IUCN Key Result Areas refer to section 3.8.2 of this report.

Table 2.1: Profile of the main potential contributions of five CEM knowledge products to the expected results of the 2005-2008 Intersessional Programme

Result	n	%*	Description of Result
3.1K	2	40	Improved understanding of how markets, institutions and socio-economic forces create incentives and disincentives for the conservation and sustainable use of biodiversity
5.1K	3	60	Improved understanding of how social, economic and environmental objectives can be reconciled in the management and restoration of ecosystems
5.2K	2	40	Reliable tools and methods for integrated management and restoration of ecosystems
CEM products also contribute to a smaller extent to Results 1.1K, 2.1K, 3.2K, 4.1K and 4.6G			

* Note that a knowledge product can contribute to more than one Result.

CEM is promoting the Ecosystem Approach by focusing on taking it from concept to action. During this Intersessional Period it has recognised the centrality of people to its work, as well as its multi-disciplinary nature which embraces the social and natural sciences. Some progress has also been made in doing applied work in strategically selected ecosystems as part of the work in the priority area Promotion of the Ecosystem Approach. A major initiative is a series of field case studies which are being developed with Dutch funding to provide lessons for the application of the Ecosystem principles. Several previous attempts were made to prioritise the principles or to cluster them according to similarity of issues, but CEM wanted to provide

concrete operational guidance for action on the ground. The CEM case study product was a forerunner of this CEM thrust.

The product

The IUCN Ecosystem Management Series produced by CEM has as its aim to share the lessons learned from implementing the Ecosystem Approach at field and policy levels. Two publications in this series appeared in 2003, one of which was selected as case study.

The content of this product, *Using the Ecosystem Approach* is central to the work of CEM. In the latter half of 2000 the Commission took the lead together with several other partners in initiating workshops in three regions to explore practical applications of the Ecosystem Approach. The experiences and lessons from these workshops formed the basis for the text of the book. It synthesises the discussions and conclusions from the workshops and draws lessons from them. It also includes recommendations for action that are relevant to bodies interested in the Ecosystem Approach. Twenty-nine case studies from the three regions were used to illustrate the extent to which the 12 Ecosystem Approach principles were already applied in projects on the ground. The principles were thus retrofitted to the case studies.

During the course of the case study on this product it became clear that users sometimes did not separate their comments about the book from their comments on the preceding workshops, and saw the influence of the book as closely linked with the knowledge and experience gained through the workshops. An interesting approach would have been to consider the book *together* with the workshops as the “knowledge product”. However neither our current product definition nor the questionnaire design supported this approach.

The development process

CEM was already at an early stage involved in the development of the Ecosystem Approach. In June 1996 it organised the “Sibthorp seminar” during which an early definition of the Ecosystem Approach and a set of ten principles for ecosystem management were developed. In January 1998 the CBD sponsored a workshop that expanded the ten principles to the current twelve. We were told that the final endorsement of the 12 Principles and five points of Operational Guidance of the Ecosystem Approach by COP 5 in May 2000 was “a milestone for CEM” who had lobbied intensively for their adoption.

The parties at the COP 5 meeting called for “.....practical expressions of the Approach in various contexts to be developed using case studies and workshops”. They also “requested the CBD Secretariat to use lessons learned from workshops and case studies to prepare guidelines on implementation of the Approach before the 7th Conference of the Parties”.

This decision prompted CEM to organise three so-called “Pathfinder Workshops” in Southern Africa, South America and Southeast Asia in partnership with the CBD Secretariat, the Royal Holloway Institute for Environmental Research, UNESCO-MAB, the Ramsar Convention on Wetlands and WWF International. The purpose of the workshops was to familiarise governments, CBD focal points and other stakeholders with the Ecosystem Approach. Workshop participants included technical field experts as well as CBD Focal Points from governments in the three regions.

The workshop discussions and case studies provided the substance for the book. The two authors synthesised the workshop outcomes and circulated the draft for approval to the partners in the workshop initiative before finalisation of its content. The book was published after a delay of more than two years due to a dispute about intellectual property rights between IUCN and one of the authors.

The reasons for creating the product

At the time the CEM leadership felt that stakeholders needed a tangible expression and greater awareness of what was meant by the Ecosystem Approach. Rather than to provide an academic analysis, the book was to help inform the implementation of the COP 5 decision on the Ecosystem Approach. It was to capture some best practices, simplify complex principles and make the knowledge available to wider audiences in order to create a general awareness among stakeholders of the principles of the Ecosystem Approach and their use.

Thus although CEM had no systematic process through which to determine whether a product was a priority for development, we were told that in this case the need was “glaringly obvious”. Both the CBD and IUCN had the Ecosystem Approach at the core of their work. The two entities were closely aligned and it was in the interests of both to have the workshops as well as a synthesising publication.

Profile of the “users”³

This case study is based on a document review and on the inputs of 34 users as well as eight so-called “key informants” who authored the book or were involved in the conception and implementation of the project to produce the book. Table 2.2 gives a profile of the users who provided inputs. Fifty percent were very familiar with the book, 19% fairly familiar, 16% somewhat familiar and 15% not at all. The latter group either refrained from responding to questions or gave their opinion based on what they had heard from others.

Table 2.2 CEM Using the Ecosystem Approach user inputs by Commission membership, statutory region and type of institution

Commission Affiliation	Number of users	% of users	
CEM members	26	76	
Not CEM members	5	15	
IUCN staff	2	6	
Unknown	1	3	
<i>Total</i>	<i>34</i>	<i>100</i>	
Statutory Region	Number of users	% of users	% CEM members*
Africa	6	18	17
Meso and South America	2	6	10
North America and the Caribbean	8	23	14
South East Asia	2	6	18
West Asia	1	3	1
Oceania	1	3	6
East Europe, North and Central Asia	1	3	3
Western Europe	13	38	30
<i>Total</i>	<i>34</i>	<i>100</i>	<i>100</i>
Type of Institution	Number of users	% of users	
Academic institutions	4	11	
Private sector/consultants	5	15	
Specialised media	1	3	
NGOs	3	9	
International NGOs	2	6	
IUCN	2	6	
Government organisations and agencies	9	26	
EU, UN agencies	3	9	
Unknown	5	15	
<i>Total</i>	<i>34</i>	<i>100</i>	

*Percentage of Commission members in that region

³ Note that as stated in section 1.4.2, we employ the term “users” to include *potential* users of the product or service, not only those who have actually used these products or services.

We selected users to interview from participants in the original Pathfinder workshops, many of whom were CBD National Focal Points. Unfortunately in the interview period which coincided with the COP 7 meeting, these Focal Points were difficult to reach. We also targeted CEM members based as far as possible on institutional and regional representation. Survey questionnaires were distributed to participants in the Pathfinder workshops and to CEM members.

A large portion of those targeted by the survey were Commission members and this is reflected in those who responded. It is also likely that Commission members would have been more motivated to respond than those who were not members. The individual inputs per region are in line with the membership distribution, except for somewhat larger response rates from North America and the Caribbean, and from Western Europe. Inputs from South East Asia are fewer than expected.

Timing

The Pathfinder workshops followed quickly on the decision at the CBD COP 5 to develop practical expressions of the Ecosystem Approach. While this was an opportune initiative at the time, the publication of the results from the workshops after more than two years negatively affected its potential impact. Users who were at the workshops felt that they had gained much from the initial process, but that momentum had been lost during the period before publication. Some were of the opinion that while in 2000 this would have been a “seminal work”, in the meantime it had been overtaken by other publications in the field. In spite of this reservation, a total of 63% of users still believed that the timing for release of the book was appropriate to address the need at which it was aimed and only 9% felt that it was too late to have real impact. The rest did not know, or did not respond to the question.

The long delay in the publication of the book due to a dispute about copyright and the use of logos highlights the fact that IUCN should ensure that it has clear and firm guidelines on intellectual property rights which can guide its response when disputes arise.

The quality and cutting edge nature of the product

Sixty three percent of users found the style and layout of the book generally attractive and user-friendly, while 9% felt that this could have been improved. Some users did not like the lack of references, but in spite of this concern, 75% of the users believed that the book was a credible and reliable source of information. They appreciated the discussion of the theoretical frameworks and the fact that it used case studies based on real life experiences. This was the most cited reason for their belief in its credibility. Only six percent felt that the content was not credible or reliable. A few critical comments noted that it was compiled for a readership that was too general and that it lacked clear guidance for practitioners on implementation.

Users believe that its main contribution has been in integrating and repackaging existing knowledge to provide new insights (30%), helping to bridge the gap between theory and practice (25%), and providing information that built essential capacity in the field. In general, user comments portrayed divergent and mostly somewhat lukewarm opinion about the overall value that the book has added to the field of ecosystem management. They also had significant differences in opinion on whether it was a work at the cutting edge of its field. Fifty percent felt that it was indeed so - the second lowest percentage registered for all the case study products. Users motivated their response by stating that it was innovative in revealing the important issues in ecosystem management; had helped to clarify the Ecosystem Approach; had simplified complex principles using case studies; and had taken practice and put it into a useful framework.

The 22% who felt that it was not a cutting edge product (the highest percentage of all case studies) based their opinion on the fact that its contribution to the field was not perceived to be very significant. One of the users called the book “at the trailing edge”, noting that its content was based on “finding the lowest common denominator”. Other comments ranged from “it takes us a little further down the road”, and “a good foundation for a new work” to “it assembled a summary of much of the current dogma” and “this is not a systematic synthesis but just a workshop summary”.

Several users commented on the fact that the book would have been more useful if it had been accompanied by training workshops to promote the Ecosystem Approach. We were told that this was part of the initial plan which was not executed due to the change in Commission leadership at the time. As for several other case study products, this highlights the fact that Commissions need to take strategic decisions about the extent to which they want to invest in adding value to existing products to enhance their impact - either on their own or in partnership with others, inside and outside IUCN.

Quality assurance

We were told that CEM publications are normally reviewed by the Steering Committee and that the Commission at present has no formal peer review processes or guidelines. *Using the Ecosystem Approach* was not subjected to any formal peer review process apart from the circulation of drafts for comment to each of the organisations who had sponsored the workshops.

Targeting, dissemination and accessibility

The broad target audience for the book was all those who could benefit from a better understanding of the Ecosystem Approach. In particular it was aimed at convincing government and private sector decision-makers to mainstream the Ecosystem Approach in their planning of activities. Another primary target was those responsible for implementation of the CBD in each signature country. For the environment sector in general it was to provide practical guidance, for example in the management of conflicts between conservation and development objectives in or around a protected area.

No coordinated dissemination strategy was designed between the partners who took responsibility for the distribution of the book – CEM, the Ramsar Secretariat, the CBD Secretariat, the authors and the IUCN Regional Offices. As far as we could determine the dissemination of the hard copies did focus more or less on the targeted groups, but there was little effort to distribute it to key private sector decision-makers. Hard copies from CEM were distributed to Commission members, at the World Parks Congress and at the recent SBSTTA meeting held in November 2003, where it was officially launched. The Ramsar Secretariat distributed it to their contacts. We are not sure of the distribution patterns of the other partners in this process.

The CEM and Ramsar Websites were used as further means of distribution. Targeted email and list serve messages were also used to highlight the availability of the book, including to the CBD Focal Points.

Greater effort could be made to reach decision-makers outside the environment sector. Users noted that the book (or brochures) should be distributed at conferences on topics such as trade, security and poverty alleviation. Targeting of appropriate list serves and the distribution of a summary brochure (which has already been produced) can be used effectively for this purpose without much additional cost, perhaps in conjunction with upcoming products from

the further development of this work through the working group for the Promotion of the Ecosystem Approach.

Forty seven percent of users noted that they had passed the book or information on the book on to others, mostly to colleagues in their own organisation. This is an additional useful dissemination mechanism that can increase the use of the book among audiences that IUCN normally would not reach.

Users appreciated the availability of the book in both hard copy and on Websites. Hard copies remained the preferred method of dissemination (preferred by 54% of users compared to 26% who preferred distribution through the Website). Several asked that a CD ROM version be made available in future. Thirty six percent of users found the Commission products generally easily accessible, 27% most of the time and nine percent only sometimes. According to the users the CEM products and services were the least accessible of the all Commissions. The reasons for this perception are unclear.

Use, results and influence

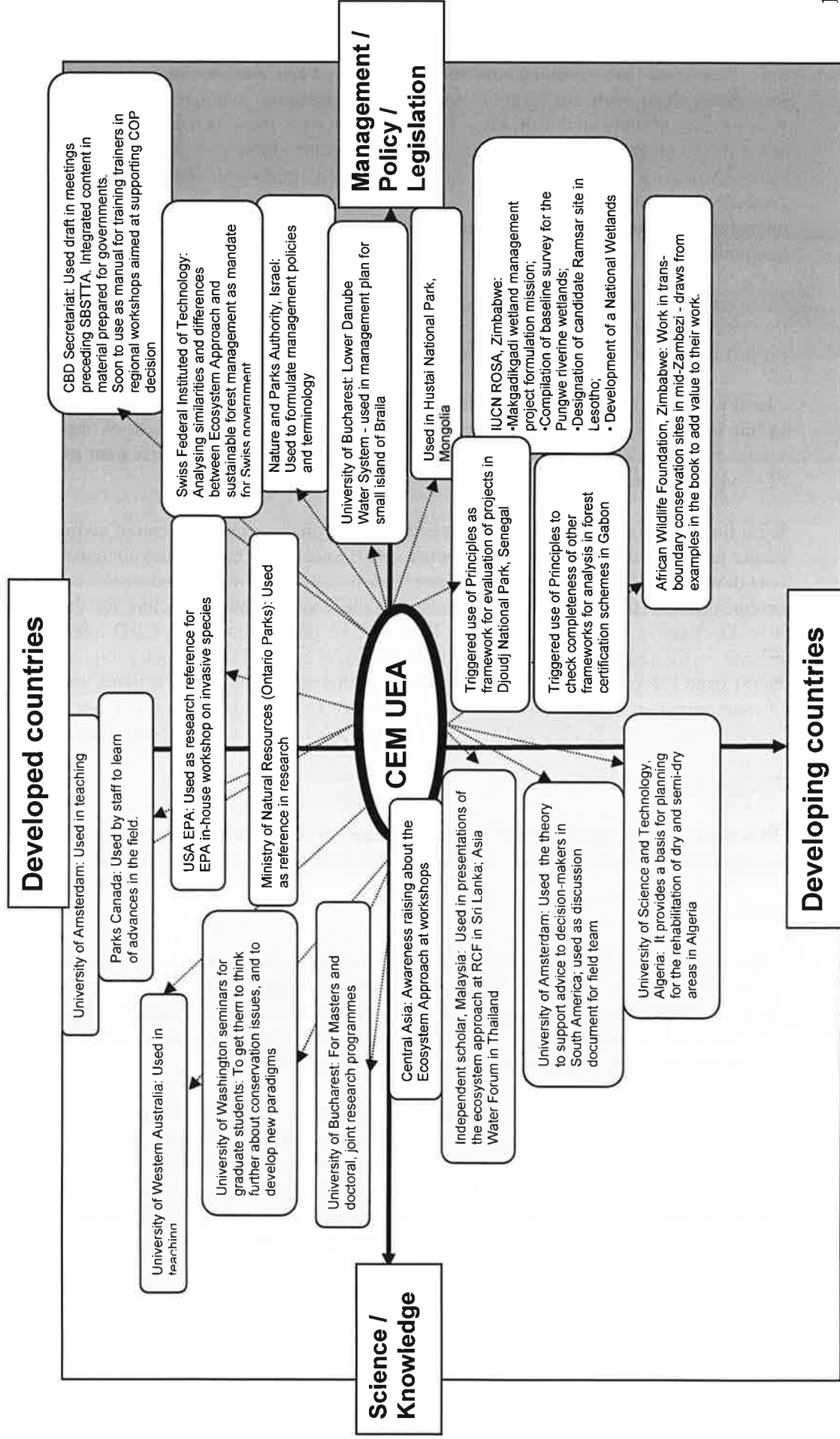
Fifty six percent of users or their organisations had used the book, while 28% had not done so. The rest refrained from giving their opinion. Only 16% (five users) confirmed that it had some influence on them or on their organisations. It would be unfair to make any judgment about the potential of the book as these relatively low percentages could well be due to the short time since its release. This is to some extent supported by the statement by some users that it was not so much the book as the process linked to its development that had informed them and enabled them to use the Ecosystem Approach in their work. An interesting example is that the lessons learned from the case studies in the workshops were an important source of guidance to those partners working to realise the WSSD Plan of Implementation in 2002. The references to the Ecosystem Approach in the Plan of Implementation have in turn emphasised the relevance and increasing acceptance of the Ecosystem Approach as a strategic framework for achieving sustainable development objectives through an appropriate balance of conservation and sustainable use of biodiversity. This is an example of the influence of the *process* of developing the product, rather than the product itself.

Figure 2.1 is a schematic representation of the use of the book⁴. In this case the presentation is also made in a form different to those for most of the other case study products and services. We present the CEM product to demonstrate its use in the developed and developing areas of the world as it relates to knowledge transfer for information and capacity building purposes only, or for management, legislation and policy purposes. Significant concrete results and influence for this book have not yet been reported, although the examples of use indicate that some results and examples of influence probably do exist.

Figure 2.1 thus shows that *Using the Ecosystem Approach* is being used in almost equal measure in the developed and developing countries, and almost equally for knowledge transfer for information and capacity building purposes as well as for informing management or policy initiatives. It was used by the CBD Secretariat to inform material for SBSTTA meetings and will be used in their upcoming “training of trainers” workshops.

⁴ We have used this method of presentation only as a rough indication of the different types of use and influence of the product found in the different parts of the world. The axes have not been carefully defined and the placement of the statements of use and influence has no particular significance; they are only roughly situated in the correct quadrant without using a well defined scale on the two axes. For a more accurate visual presentation clustering approaches on well defined scales can be used and we provide such examples in the newly developed methodology for tracking knowledge products which is described in a separate document.

Figure 2.1 Use of the CEM product, *Using the Ecosystem Approach*, across the world, based on the responses of 34 users



In the six months since its release the book has been used quite extensively for information and reference, including by the USA Environmental Protection Agency, Parks Canada and at meetings in Sri Lanka and Thailand. Several universities in Australia, the US and Europe have used it in their teaching and research. It has been used to raise awareness about the Ecosystem Approach in Central Asia and at graduate seminars in the University of Washington. Management initiatives have also benefited from its availability, for example. It aided the formulation of management policies and appropriate terminology by the Nature and Parks Authority in Israel; informed work in the trans-boundary conservation sites in Zimbabwe and in Hustai National Park in Mongolia; and was used in the constructing the management plan for the small island of Braila in the Lower Danube Water System in Romania.

Only one regional IUCN office reported use of the book. IUCN ROSA has used it to inform the development of several projects, including the Makgadikgadi wetland management project formulation mission and a National Wetlands Management Programme for Lesotho.

The few users who commented on its potential influence indicated that it was perceived to be in line with what the initiators of the product wanted - a greater awareness of the Principles, a wider recognition of the need for stakeholder engagement and a reinforcement of the concept of "connected" landscapes.

With limited information from users it is difficult to make a clear statement about the success of the book in reaching its target audience, or its success in making the changes for which it was developed. All examples of use have been noted by environmental agencies, universities or consultants. However, this could be due to the way in which sampling for this case study was done and in future more effort will have to be put into targeting CBD Focal Points, the private sector and government departments outside the conservation sector. One of the lessons learnt from tracking the knowledge products is that sampling needs to focus strongly on the primary target audiences and innovative ways have to be used to get input from those that are "hard to find". This Review did not allow us the time to pursue this aspect adequately.

Unexpected effects

This book was not aimed at the academic sector. It was therefore interesting to find several examples of its use for research and teaching by universities in developed countries.

Some observations

CEM wants to be a bridge between science and society, and *Using the Ecosystem Approach* is an example of this approach. It succeeded in translating complex principles into real life examples, providing a framework within which they could be understood. It is already being used by some members of the conservation community, mostly in ways that were expected. There are signs that with time its influence may still grow.

However certain factors have detracted somewhat from its success, in particular the time lag between its conceptualisation and publication. It is not considered to be on the cutting edge to the same extent as many of the other case study products, both because of the timing of its release and perceptions around its content. The quality assurance process appears to have been less rigorous than desired. CEM would do well to review and formalise its quality assurance procedures and mechanisms for future products and services.

It is also more problematic to reach target audiences and to determine whether they have been reached if such audiences are too broadly defined. Indications are that some, but not all, of the primary intended audiences were reached effectively.

In spite of this, *Using the Ecosystem Approach* can be regarded as a worthwhile contribution to the field of ecosystem management. The Promotion of the Ecosystem Approach working group has already taken the concept forward towards products and services that can provide greater practical guidance on the ground. It will now be critical for CEM to consider how to position future products to be at the cutting edge and to contribute in the best possible manner to what the Commission and IUCN want to achieve. This will mean the *purposeful* and systematic identification of cutting-edge products and services that can enhance CEM's (and IUCN's) profile in this important field.

As in some of the other case studies the number of users who gave inputs into this study was somewhat limited. This means that limited conclusions can be reached about the use and influence of the product on the targeted user groups. This aspect is further discussed in the document on the methodology developed for the tracking of knowledge products which resulted from the lessons learned in this study.

2.2 Commission for Education and Communication (CEC)

2.2.1 The Case Study: *Nature Management in Partnership*

***Nature Management in Partnership* – A capacity development programme in communication**

The context

CEC is the only global knowledge network of experts in environmental communication and education. It strives to show how to bridge the gap between those who have concern for the environment and those who care little for it, trying to get people to think differently about their approach to nature. It works as a network of influence with close links to governments and other influential bodies. It also aims to develop the capacity of conservation experts in the wider IUCN and Conventions to communicate effectively with their audiences.

With co-management and public participation becoming the norm in protected areas management, strategic communication as a management tool has become even more important. In order to achieve its goals, CEC provides a variety of products and services, including advocacy for the use and integration of education and communication strategies in environmental initiatives; guidance on the practice of environmental and sustainability communication and education; promotion of communication management of meetings and processes; and technical advice on how to manage learning processes for different target groups.⁵

Advocacy and capacity building are major areas of activity for CEC. Its advocacy work focuses on working with the major Conventions on advocacy for communication, education, participation and awareness (CEPA), and on education for sustainable development. It also aims to integrate CEPA into IUCN programmes. CEC develops capacity in strategic communication, approaching it as a long-term process of innovation and adaptation at

⁵ CEC Work Programme 2000-2004

individual, organisational and institutional levels rather than by short-term training workshops. In doing this the Commission strives to work as a catalyst to show people how to work together in a different way towards a common goal in conservation and sustainable development.

An analysis of the CEC knowledge products produced during this Intersessional Period (refer to Annex 6 for a list of these products) shows that they are well aligned with the new Intersessional Programme, and indeed should contribute to those results that relate best to their objectives in line with the Empowerment strategy of IUCN (table 2.3). For more information on the IUCN Key Result Areas refer to section 3.8.2 of this report.

Table 2.3: Profile of the main potential contribution of 29 CEC knowledge products to the expected results of the 2005-2008 Intersessional Programme

Result	%*	Description of Result
4.3E	28	Enhanced participation of all relevant actors in the development, implementation, review and adaptation of international arrangements that impact on biodiversity conservation
5.3E	59	Stakeholders make informed choices and negotiated outcomes that balance biodiversity conservation and human development needs
CEC products also contribute to a very small extent to Results 4.4G and 4.5G.		

* Note that a knowledge product can contribute to more than one Result.

The service

The CEC case study is defined as a service rather than as a knowledge product. This is because the knowledge with which CEC works is more in the realm of “tacit knowledge” and is more successfully transferred by demonstration, learning by doing, coaching and mentoring. It was included in the series of case studies to test our approach to tracking the use and influence of the knowledge provided through the service.

IUCN through CEC has been working since 1997 with organisations in five Central European countries to build their capacities in communication, helping managers to prepare for accession to the European Union and changing their practices to a focus on “management in partnership”. The programme was initiated under the framework of the Pan European Biological and Landscape Diversity Strategy (PEBLDS) and was started by the previous Commission Chair to apply a CEC approach to strategic communication. It sought to increase the use of communication as a tool to achieve biodiversity policy or management objectives for conservation. This approach was to enable technical conservationists and decision-makers to become more effective and strategic communicators about conservation issues with a variety of stakeholder groups.

CEC members were used as consultants for the programme. They worked with different agencies responsible for biodiversity conservation in Poland, Hungary, Slovenia and the Czech and Slovak Republics, including ministries and various nature conservation authorities, at the central, regional and protected area levels to implement the project in four phases. It was supported by the Ministry of Agriculture, Nature Management and Fisheries and the Ministry of Foreign Affairs in the Netherlands. The last phase has just been completed and the project evaluated.

Programme participants had been applying the knowledge gleaned from the programme throughout its implementation. We wanted to determine its influence on the participants during the seven years of their engagement with CEC.

The development process

In 1997 IUCN and several other parties held discussions with interested countries in Central Europe to define a capacity development programme to be carried out by IUCN, CEC and another organisation (ECNC). IUCN undertook a needs assessment and signed Memorandums of Understanding with the five countries to collaborate on the programme. ECNC held a first workshop in the Slovak Republic for decision-makers from ministries and agencies in the five countries in order to convince them of the need for change in their view of communication and to show the benefits of a different approach. This was followed by the first phase of this IUCN CEC programme, which focused on working with the communication staff assigned to the course by the senior officials in the first workshop.

The relevant management systems in each of the five countries were explored and trends analysed⁶. A strategy was developed in four stages: (i) setting up a network of change agents in the five countries; (ii) establishing in each country a critical mass of "early adaptors" around the change agents; (iii) helping participants to discover individual and institutional barriers; and (iv) overcoming some of these barriers. In all phases the facilitators tried to connect the learning as much as possible with the challenges of the PEBLDS and NATURA 2000⁷ for the countries.

Phase one ("training the trainers") focused on building the capacity of staff responsible for undertaking communication relating to biodiversity through a training course and follow-up support in two countries where planning on communication was undertaken.

During phase two the size of the group was expanded and more personal training was provided. In-country communication training programmes were held in the local language, using the content of the first training programme. Lessons were shared at an international workshop between the countries.

During phase three projects were undertaken where the newly acquired communication skills could be applied in pilot projects in national biodiversity priority areas, looking at real problems so that there could be "learning by doing". Participants also had an opportunity to get support in project management skills and in the communication of the work within the government agencies. Mentoring was done by telephone and email. Again an international workshop was held to enable participants to share experiences.

In phase four the participants worked on national and local pilot projects where stakeholder management was the focus, learning by doing and integrating the work into their organisations. Two regional meetings were held to exchange experiences between participants from the five countries.

⁶ Hesselink F, Idle E, Van Boven G. *Beyond Training: Protected areas institutions as learning organisations. Developing capacity to change towards management in partnership.* Effective Communication for Nature Conservation. A PIM Matra Project in Poland, Hungary, Czech Republic, Slovak Republic and Slovenia (1997-2003)

⁷ NATURA is a European ecological network established under the European Union's Habitat Directive (1992) on the conservation of natural habitats and of wild fauna and flora. It includes "Special Areas of Conservation" designated by member states in accordance with the provision of the Habitats Directive, and "Special Protection Areas" designated by member states under the earlier conservation of Wild Birds Directive (1979). Member states have to fulfil the requirements of the Directive and to "raise the level of public awareness by promoting access to information and participation in decision-making processes"

The profile of the “users”

Fourteen participants in the programme (the “users” in this case) were interviewed for this case study. No survey was conducted. Some participants preferred to respond to the interview questions by email. All were sampled at random from a list of participants presented by CEC. All participants interviewed were from the targeted region (Table 2.4). Half were Commission members (invited to join since their involvement in the project), and institutional representation was well balanced between government Ministries, various government agencies and national conservation agencies.

Table 2.4 CEC Nature Management in Partnership user inputs by Commission membership, statutory region and type of institution

Commission Affiliation	Number of users	%of users
Commission members	7	50
Not Commission members	7	50
<i>Total</i>	<i>14</i>	<i>100</i>
Statutory Region	Number of users	% of users
East Europe, North and Central Asia	14	100
<i>Total</i>	<i>14</i>	<i>100</i>
Type of Institution	Number of users	% of users
Government ministry/department	5	36
Government institute	5	36
National conservation agency	4	28
<i>Total</i>	<i>14</i>	<i>100</i>

The questionnaire was adapted to accommodate the fact that this was a programme which we have defined as a service, rather than a knowledge product.

Timing

Seventy nine percent of participants felt that the timing of the programme was appropriate to address the need at which it was aimed. The others either did not know or did not venture an opinion. None felt that it was an untimely exercise. Participants felt that with accession to the EU and in the context of NATURA 2000 it was necessary for state conservation agencies to change their attitude towards other stakeholders such as farmers and local government. Cooperation and partnership building, for example with private landowners, was a new concept which had to be taken up into systems. Our perception is that implementing the programme at a time of new openness and during processes of ongoing change has increased its chances of success.

Several participants commented that the lengthy nature of the engagement was not a disadvantage, but a necessity to help ensure real change.

The quality of the service

Twelve (86%) of the fourteen responding participants felt that the project was very well (eleven of the participants) or fairly well (one participant) designed for the purpose it was to serve. Only one disagreed. There was special appreciation for

- the joint effort where the inputs from participants were respected;
- the long engagement and practical application which gave them the opportunity for real individual development; and
- the opportunity to solve real problems on the ground during the project.

All 14 of the responding participants believed that the information provided during the programme was credible and reliable. They perceived the information to be very useful, especially as it was based on local experience, was shown to work in practice and was provided by professional staff from reliable organisations.

All participants felt that the programme added value to the field in their countries. Ten of the participants felt that it provided information to develop essential capacity in the field, nine felt that it generated new knowledge that would help to advance the field, and eight felt that it provided them with new tools and methods and also gave new insights using existing material.

Twelve out of 14 participants (the second highest percentage for all case study products) were of the opinion that the programme was in their particular context a cutting edge contribution to the field and that there were no other service providers with a similar product. Two participants disagreed without giving reasons.

Quality assurance

We were told that the programme had a strong focus on monitoring and evaluation in line with the learning culture that it tried to instil. For example, each activity was followed up with a reflection on “what went well, what could be improved next time?” Mistakes were allowed to happen as powerful learning points. During the first three phases a regional workshop was held at the end of each phase to enable participants to reflect, share experiences and give their opinion on the course. During the last phase two reflection meetings were held where the five national teams as well as the advisers worked together to evaluate progress and plan the way forward. Participants could give their opinion using questionnaires and small group discussions during time set aside for evaluation.

At the end of the programme the team reviewed the lessons and a consultant from the Netherlands conducted an external evaluation to extract lessons from the project as a whole.

Targeting

High level decision-makers from Ministries, protected areas agencies and national parks in the five countries attended an initial workshop held to demonstrate the need for change in the way in which they viewed communication, to show the benefits of a new approach and to plan the next steps in the project. Thereafter all countries sent four participants each to a ten day international workshop to develop skills in communication planning focused on the use of communication to help solve real problems.

Most of these participants were conservation scientists and mid career professionals. According to some of the organisers they hoped to expose senior decision-makers to successful approaches and projects so that they would be amenable to change the way in which their Ministries or agencies communicated and worked. In the latter phases of the programme, consultants thus made special attempts to present results to, and engage, high-level decision-makers in the processes. National workshops were held to report on the projects and opportunities provided for these senior decision-makers to participate.

The participants generally concurred that more intensive involvement of senior decision-makers from Ministries would have led to greater and more sustainable impact.

Use, results and influence

All but one of the participants noted that they or their organisation had used the results of the programme. The remaining participant said that as organisation they still intended to use what had been learned. Eleven participants reported concrete results, and 13 participants reported observing some influence from the programme on themselves or their institutions.

The evaluation report analyses the use, results and influence in each of the five countries. In Figure 2.2 we give some of the examples provided by participants interviewed for this study⁸.

During phases three and four the programme was able to support and encourage the development of concrete communication strategies in relation to specific legal obligations, such as the National Communication Strategy for wetlands in Hungary and the National Biodiversity Plan of Slovenia. The external evaluation found that these contributions were clearly set out in the various country reports produced as part of the project, but that there is much less evidence of the adoption of more general communication protocols or guidelines for nature conservation. The NATURA 2000 obligations presented a good opportunity to apply the communications skills learnt through the project, for example in Slovenia it drew in individuals that had developed their communication skills during the project.

In each of the five countries the programme has contributed to a loose network of communication advocates that cut across ministerial departments, national and regional conservation agencies. We were told during the interviews that members would actually seek out each other to solicit inputs on projects with a communication component. This was confirmed by the evaluation.

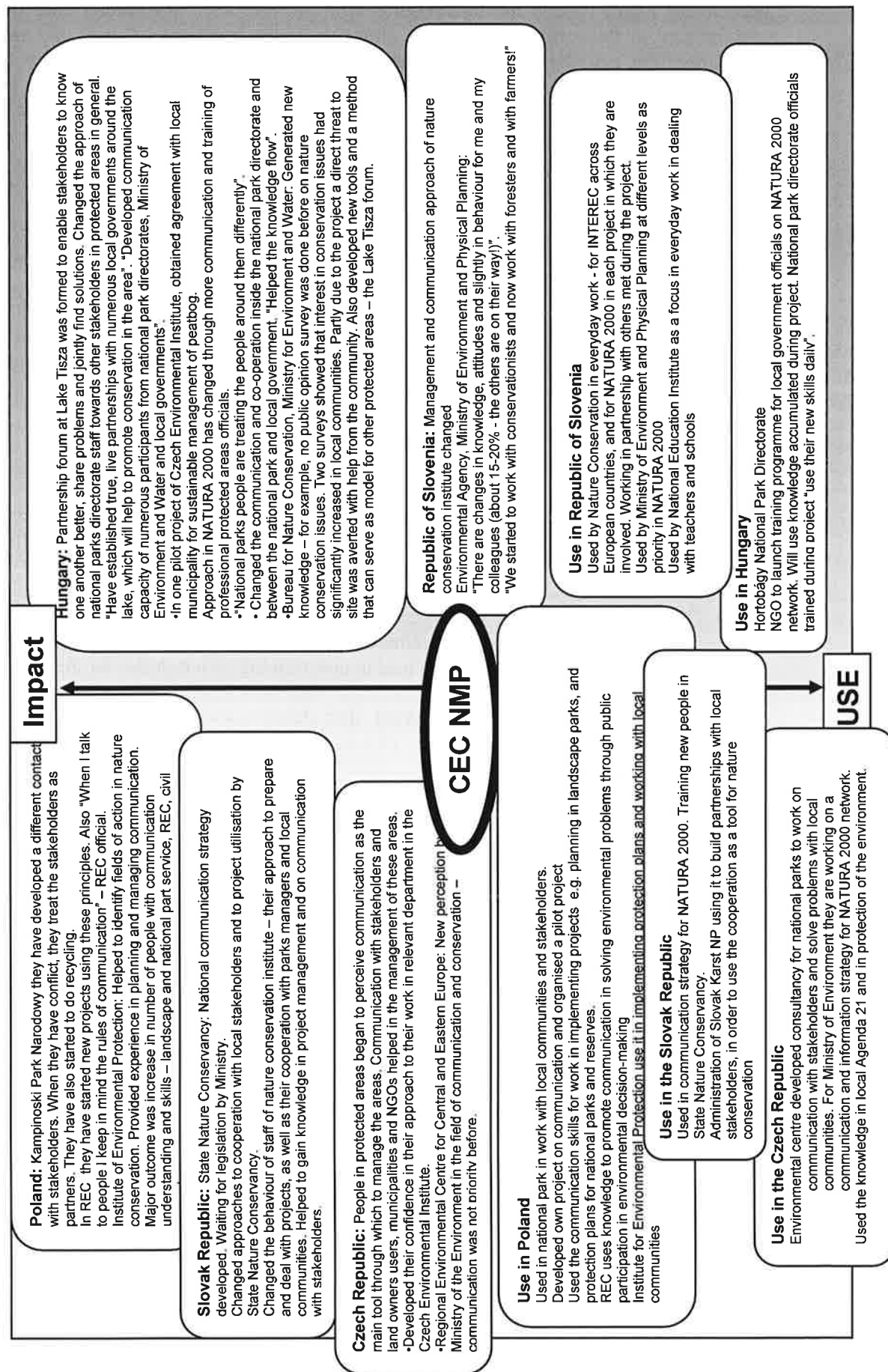
The interviews for this study as well as the evaluation conducted at the end of the support period observed that the most significant impact of the programme has been on the capacity at individual level. The external evaluator found that the “changes in the understanding of communication and the ability to use it in nature management work, have been profound and lasting”. She also noted that those interviewees who had participated directly in one of the pilot projects expressed a pivotal change in how they saw communication. The evaluation showed that they now regarded it as a two-way rather than a one-way process and concluded that communication facilitated participation in nature management by stakeholders. They also learned that it formed part of most aspects of their nature management work and needed to be approached strategically.

The evaluation indicated that their ability to plan, manage and facilitate communication, work with stakeholders and evaluate their work had improved. They could point to specific skills that were developed, including related general skills such as project management and proficiency in English. They also experienced an improved ability to train others and influence their superiors, albeit to a lesser extent.

The evaluation also found that those more directly involved in the pilot projects seemed most affected in terms of thinking and ability. For some participants the impact was less, especially where they already held a perspective of communication similar to what the programme promoted, were further removed from the pilot project experiences, or were reluctant to change their opinion.

⁸ We have used this method of presentation only as a rough indication of the different types of use and influence of the product found in the different parts of the world. The axes have not been carefully defined and the placement of the statements of use and influence has no particular significance; they are only roughly situated in the correct quadrant without using a well defined scale on the two axes. For a more accurate visual presentation clustering approaches on well defined scales can be used and we provide such examples in the newly developed methodology for tracking knowledge products which is described in a separate document.

Figure 2.2 Use, results and influence of the knowledge gleaned through the CEC service, *Nature Management in Partnership*, across the world, based on the responses of 14 participants (refer to footnote in this section under *Use, results and influence*)



In spite of these positive results, the evaluation as well as the results of this study showed that the programme had a more limited impact at institutional level. Some of the smaller regional conservation authorities involved in the pilot projects (where relatively more staff members were involved) showed significant changes in attitude towards communication. The participants highly valued the relationships built between the conservation authorities and stakeholders in the local pilot projects. However, many mentioned a lack of funding for communication activities and found that they could only allocate limited time to these activities. Interviewees pointed to a continuing lack of support for communicative practices among high level decision-makers. This means that generally communication has still not been allocated a high priority and the additional resources required for it to become a central instrument in nature management. The evaluation also concluded that while the project had contributed to the communication training capacity in each country, it needed to be more structurally embedded for wider scale institutional change.

CEC used the experiences from this programme to inform other initiatives. Among others they produced a video and brochure for COP 6 and the work on Article 13. The lessons from the programme were also used to inform WPC participants during workshops and presentations. A brochure was developed in 2003 to strengthen the national teams in their advocacy work, and the approaches that have emerged from the programme are being used as a basis for a Europe wide comparative study of “the role of communication in managing change” to be presented in Valsain in June 2004.

Unexpected effects

- Participants realised that local communities were much more willing to cooperate with them than they expected. The realisation that there was significant common ground between them changed the nature of the interaction.
- Some participants did not expect the great interest in the project from staff in their organisations, and that their attitudes could be changed “so easily”. One participant observed that this was going to lead to new training opportunities for their staff.
- Some participants were surprised that decision-makers at a higher level were interested in the results of the project and in some cases would be interested in allocating more resources to communication initiatives, or request support from donors for such work.

Some observations

The influence that this project has had on an individual level was remarkable and show clearly the usefulness of CEC work. A number of reasons can be found for the success of the project:

- the needs analysis conducted during the design phase which ensured that real needs were addressed;
- the long-term, well structured engagement aimed at building various capacities related to communication, rather than the short-term training that normally takes place in capacity building efforts;
- the use of pilot projects that provided opportunities for participants to test their newly gained knowledge on real problems on the ground;
- close interaction and mentoring of participants by professional advisers for the duration of the project and especially at critical stages; and
- the provision of opportunities for participants to express their views and monitor progress.

Many lessons can be learned from this programme for application elsewhere. The CEC undertaking to publish these lessons is therefore welcomed. Careful thought should also be given to approaches that could scale up the work for implementation in other parts of the world, and the best role that CEC could play in this process. The programme required significant resources and this could limit its application in its present form. It might also be necessary for future application to track whether it has had a lasting impact on the individuals involved and more importantly, on the institutions that have to drive conservation in the region through policy making and implementation in the field.

Although the questions for data gathering had to be adapted somewhat for this service, information could be obtained in line with that for the knowledge products. In this case the end of term evaluation provided an additional source of valuable information on the influence of the project. It was obviously much easier to identify the “users” of the service. Tracing the perceived influence of the programme therefore became a much easier exercise. It was also somewhat easier to judge the extent of influence of the programme on the users. A much higher percentage of the relatively small participant group could be reached and their perceptions of the effects of the programme were very similar across the five countries. With more time available, institutional colleagues’ and other stakeholders’ perspectives would have been valuable additions to the study.

2.3 Commission for Environmental, Economic and Social Policy (CEESP)

2.3.1 Case Study: *BRIDGES Trade BioRes*

***BRIDGES Trade BioRes*, fortnightly electronic newsletter published by the International Centre for Trade and Sustainable Development (ICTSD) in collaboration with IUCN through the CEESP-GETI Working Group.**

The context

The CEESP Working Group on Environment, Trade and Investment (CEESP-GETI) was established in March 2001 as one of the five working groups of CEESP. It addresses issues at the intersection of trade, investment and environment and assists IUCN in defining its niche in this field “focusing on providing practical information services to the IUCN membership on the interface of international trade rules and biodiversity”. The CEESP-GETI Secretariat is housed at the International Centre for Trade and Sustainable Development (ICTSD), an independent, not-for-profit organisation based in Geneva. The CEESP-GETI Project Coordinator is also based at ICTSD.

CEESP-GETI works closely with the Policy, Biodiversity and International Agreements (PBIA) Unit of IUCN and has recently also been exploring closer linkages with the IUCN Regional and Country Offices as well as with other IUCN Commissions such as CEL. As part of its “inward track”, CEESP-GETI in collaboration with ICTSD aims to engage the IUCN Secretariat, Members and Commissions to advance the knowledge and capacity within the organisation in this field. While trade and investment issues are not at the “heartland” of

IUCN, it is of strategic importance to IUCN as it is a fast moving and highly visible field which impacts on the management of conservation in the international arena. CEESP-GETI has also been involved in the recent establishment of a more structured trade and biodiversity initiative in the IUCN Secretariat.

In its “outward track” CEESP-GETI aims to work with specialists within and outside IUCN to do research on topics of importance to IUCN, among others in monitoring trade policy. In doing this it strives to “bridge the widening gap between trade and economic policy, declared environmental achievements and actual achievements in conservation and environmental protection”.

The ICTSD is well known for its *BRIDGES* electronic newsletters which include *BRIDGES Weekly*, *Trade BioRes* and *BRIDGES Monthly*. Weekly updates are provided on news and events in trade and sustainable development with a focus on the WTO; biweekly updates on news and events in trade, sustainable development and biological resources; monthly news and analysis on trade and sustainable development (including periodic Latin American, African and German editions); and bimonthly news and analysis on the major issues faced by Africans in their international trade negotiations at the WTO and with the EU.

BRIDGES Trade BioRes is a joint initiative between CEESP-GETI and ICTSD. Other CEESP-GETI outputs include contributions to the CEESP Policy Matters newsletters (especially Volumes 8 and 11), and relevant policy papers. It was recently involved in the production, publication and peer review process of the first CEESP Occasional Paper Series.

The product

We selected *BRIDGES Trade BioRes* (in this report called *CEESP BTBR* or *Trade BioRes*) as case study product because of the fact that it is a joint initiative with an external body, has a focus on IUCN capacity building and is regarded as innovative in terms of its objectives and distribution mechanism. For the case studies we also wanted to focus on two distinctly different CEESP outputs - one in the social and the other in the economic sphere of its activities.

Trade BioRes is an electronic newsletter published every fortnight by ICTSD in collaboration with IUCN. It was established in 2001 as a joint initiative between the two organisations, primarily to build capacity within IUCN on issues at the intersection of trade and biological resources. The IUCN Members and Secretariat are the main audiences for the publication as part of the “inward track” activities of CEESP-GETI.

IUCN through CEESP-GETI decided to develop this product in partnership with ICTSD as it lacked the in-house capacity to produce it themselves. This approach has interesting implications, especially as the case study showed that to a significant number of users *Trade BioRes* is still associated with ICTSD rather than with IUCN or CEESP-GETI due to the high profile of the ICTSD *BRIDGES* newsletter series.

The reasons for creating the product

There were several driving forces for the establishment of *Trade BioRes*:

- the growing awareness that the conservation community was not following the debates on trade and investment because it was not equipped to follow it - and yet these issues were becoming prominent in discussions around MEAs;
- the championing of the concept and field by key figures in ICTSD;
- the mandate given to CEESP-GETI in Amman;

- the recognition by IUCN that such an initiative was needed to address an essential need among the conservation community, including within IUCN;
- surveys and situation analyses which pointed to the problem; and
- the existing involvement and experience of ICTSD in producing balanced information for the trade negotiations arena in a cost-effective way.

All these factors prompted the discussions between IUCN and ICTSD which eventually led to the establishment of the newsletter in 2001.

The *BRIDGES* publications were already an established information dissemination mechanism developed by ICTSD to inform the trade and investment arena during the late 1990s. At that time IUCN was not active in promoting and informing the nexus between trade and the environment, except through some ELC activities. During the late nineties the idea of a “Trade and Environment Policy Digest” was raised as a contribution that IUCN would be well positioned to make due to its special position at the interface between governments and NGOs. Informal surveys highlighted that there was a growing need for the conservation community to be more informed in order to participate in relevant global and regional debates on the intersection between trade, the environment and sustainable development.

IUCN also had to determine the role and profile of this nexus in its own programming for the 2001-2004 Intersessional Period.

At the time, trade issues in the conservation arena were often approached from a legal or advocacy perspective – neither of which fulfilled the need for a broader understanding of issues in the conservation community. In response to this gap IUCN and ICTSD developed *Trade BioRes* as a vehicle through which to share information and build capacity in the conservation community. *Trade BioRes* was thus designed as an enabling tool mainly to build the capacity of IUCN Secretariat and Members to articulate their perspectives on global platforms and to clarify and help develop the role of trade related issues in the IUCN Programme.

The development process

After the joint conceptualisation of the product, ICTSD produced pilot issues of *Trade BioRes* using its own in-house expertise. The pilot issues were reviewed by various interested parties, among others by senior Secretariat staff. *Trade BioRes* was launched towards the end of 2001. ICSTD initially provided the Editor. In mid 2003 the CEESP-GETI Project Coordinator became the Editor, while ICTSD provided the Managing Editor. An editorial team was established, consisting primarily of staff from ICTSD and CEESP-GETI.

By the end of 2003 *Trade BioRes* had 1 200 subscribers including trade delegates, a variety of representatives from the conservation community, UN and EU agencies, NGOs, academia and a considerable number of members of the management cadre of the IUCN Secretariat.

As ICTSD prides itself on its non-partisan and neutral approach to information, the bulk of the content is provided by specialist in-house writers. Inputs from sources less committed to similar principles are not encouraged. IUCN has been asked to contribute but has been slow to do so. The reasons are unclear, but seem to relate to a lack of capacity as well as competing priorities. Concerted attempts are now being made to mobilise IUCN staff contributions on a regular basis. Participation from IUCN should enrich the content and help interpret general information for IUCN contexts.

The new PBIA/GETI initiative to organise courses for IUCN Regional Office staff interested and working on trade and investment issues will support the learning and awareness creation

objective of *Trade BioRes* as part of a more concerted effort to mainstream these issues within IUCN. This again emphasises the importance of finding ways to develop products across the knowledge value chain - that is, using one knowledge product to enhance and support the development of another for a different purpose (Figure 1.1).

Profile of the “users”⁹

This case study is based on a document review and on the inputs of 26 users as well as 11 key informants who were, or are, involved in the establishment and production of *Trade BioRes*. Eighty three percent of the users were very or fairly familiar with the product, while 13% were only somewhat familiar with it. Four percent did not know it at all. These users either refrained from responding to questions or gave their opinion based on what they had heard from others. The rest presented no opinion.

BRIDGES Trade BioRes is an electronic newsletter to which people subscribe electronically and often anonymously, so a comprehensive list of potential users was not available. We wished to focus mainly on the contribution of *Trade BioRes* to IUCN capacity building and therefore selected interviewees from an email address list containing subscribers from the IUCN Secretariat and a few selected subscribers from IUCN Members, as well as from a list of CEESP-GETI members. A questionnaire was also sent to all subscribers on these two lists. Table 2.5 provides a breakdown of the user profile for interviewees and survey respondents.

Table 2.5 *Trade BioRes* user inputs by Commission membership, statutory region and type of institution

Commission Affiliation	Number of users	% of users	
Commission members	10	38	
Not Commission members	2	8	
IUCN staff	10	38	
Unknown	4	16	
<i>Total</i>	<i>26</i>	<i>100</i>	
Statutory Region	Number of users	% of users	% CEESP members*
Africa	3	12	17
Meso and South America	2	8	13
North America and the Caribbean	4	15	18
South East Asia	0	0	11
West Asia	2	8	4
Oceania	0	0	5
East Europe, North and Central Asia	0	0	2
Western Europe	10	38	26
Unknown	5	19	5
<i>Total</i>	<i>26</i>	<i>100</i>	<i>100</i>
Type of Institution	Number of users	% of users	
Academic	2	8	
Private sector/consultants	0	0	
Specialised media	0	0	
NGOs	5	19	
International NGOs	2	8	
IUCN	10	38	
Government organisations and agencies	0	0	
EU, UN agencies	2	8	
Unknown	5	19	
<i>Total</i>	<i>26</i>	<i>100</i>	

⁹ Note that as stated in section 1.4.2, we employ the term “users” to include *potential* users of the product or service, not only those who have actually used these products or services.

*Percentage of Commission members in that region

The large percentage of Commission and IUCN respondents is in line with the groups targeted in the interviews and survey. The inputs per region are similar to the Commission membership distribution, except for somewhat larger response rates from West Asia, and somewhat lower response rates from Meso and South America, and South East Asia. The high response rate from Western Europe is due to the relatively large number of inputs from the IUCN Headquarters staff in Switzerland. Inputs from South East Asia are somewhat less than expected. A good distribution of inputs from different types of institutions was obtained.

Only three out of the 21 identified users belonged to IUCN Member organisations, while eight did not. It is therefore not possible to use this data to determine whether the stated objective of building the capacity of IUCN Members is being achieved. We encourage IUCN to do more work with ICTSD to ensure that interested Members are exposed to this product.

Timing

Eighty three percent of the users were of the opinion that the period during which *Trade BioRes* has been available is appropriate to address the need at which it was aimed. No-one disagreed, while the rest did not know or had no opinion on the matter.

The users generally regarded the availability of this source of information as very timely in view of many relevant developments in the biodiversity field as well as issues on the agendas of MEAs that require a clear understanding of trade matters. Users believe that this has created an awareness that has been attracting more and more people in the conservation arena to search for sources of user-friendly, relevant and up to date information. *Trade BioRes* is seen as filling this gap very well indeed.

The quality and cutting edge nature of the product

Seventy four percent of users felt that the *Trade BioRes* style and format were user-friendly and attractive enough for it to reach its target audiences. Nine percent disagreed; the rest had no opinion. In general users appreciated the electronic format in a small enough file to be easily downloadable in instances where Internet access was limited, and that can be scrolled through with ease. They also found the content providing up to date information in a manner that can be quickly assimilated. A great advantage was noted as the ease with which it can be passed on to others or circulated on listserves. Several users also praised the search facility enabling quick access to a specific issue.

These comments agree more or less with those in the ICTSD survey of subscribers conducted a year ago.

A few negative comments were also noted. In some instances users found the text “too long and detailed”, focused on too narrow an audience, while its format “does not draw potential readers’ attention”. In a few instances users noted that this product, like the other CEESP publication *Policy Matters*, did not show a clear IUCN corporate identity. This matter should receive attention from both IUCN and ICTSD.

Eighty seven percent of users found *Trade BioRes* to be a credible and reliable source of information. No-one disagreed. The others had no opinion or were not sure. Users gave the following reasons for their opinion:

- the excellent reputation of ICTSD in providing unbiased, factual information;
- they have never seen the information questioned by the conservation or trade communities; and
- other primary sources of information are extensively referenced.

Users believe that *Trade BioRes* provides information that builds capacity and repackages information from others sources to provide new insights. This is in line with key informants who pointed out that *Trade BioRes* was designed to build the capacity of individuals systematically over time while focusing on pertinent issues as they happen. With one exception all those interviewed confirmed that they considered this approach to be particularly successful. For them *Trade BioRes* helps to create familiarity with terms and concepts, informs and positions current debates and provides a historical overview of developments in the trade, environment and sustainable development arena.

Seventy percent of users felt that *Trade BioRes* was a cutting edge contribution to its field (one of the highest for the case study products), while 13% felt that it was not. The rest had no opinion on this matter. Users feel that it fills a unique niche in the field with no competing products. According to the users no other publication draws information from so many sources together so systematically, with a broad focus, non-partisan and with very regular and up to date information on key issues for those not working directly in a specific field, yet who need the insight in order to participate in important forums. According to one of the users, “the cutting edge of negotiations is transmitted to the conservation policy networks” through *Trade BioRes*. The archiving also records a historical perspective that other publications cannot provide. It is furthermore seen as innovative in terms of the process that it supports, that is, exchanging information and knowledge between the trade and conservation sectors, and building the capacity in each of these sectors.

Quality assurance

We were told that ICTSD staff members are guided in their work by a set of organisational principles such as accuracy and honesty. They also adhere to editorial and style guidelines for their publications. According to one of the key informants, they “jealously guard” their good reputation in terms of the quality of the content of their publications. They base their content quality assurance on two processes:

- i. The production process, where research conducted by specialists is regularly reviewed among the research team. At least two independent sources are used to confirm factual information and inform judgment. The factual information is drawn from a variety of sources including the media, interviews and personal contact with key players and the Internet.
- ii. The Editorial Committee screens every issue for quality and relevance as well as for the use of appropriate language.

Targeting

In general ICTSD targets the distribution of their publications at audiences that they have mapped as important to what they wanted to achieve. To identify these audiences they screen a variety databases and make use of their extensive contacts to guide them. In 2003 they used a sophisticated information technology tool to define and target their clients very purposefully in the case of several products, but as far as we know this method has not yet been applied for *Trade BioRes*.

According to key informants from ICTSD they have been quite purposeful in their targeting of the *Trade BioRes* audiences, which are deemed to be (i) policy makers and other important decision makers in the field, (ii) those who are well positioned to *influence* policies and policy/decision makers (including IUCN), and (iii) the trade and conservation communities in general. They believe that their targeting can still be improved. In particular they want IUCN to assist with the distribution of *Trade BioRes* to their (the IUCN) constituency. We understand that an agreement has yet to be reached, although PBIA did provide some help in

this regard (We understand that IUCN is concerned that sending *Trade BioRes* to its Members at random would be too “supply driven”, and proposed that ICTSD should first do a careful stakeholder analysis).

We support an initiative where an effective dissemination strategy is devised and implemented by the two organisations in partnership with each other. Many IUCN Members can benefit from the publication and it might initially be necessary to follow a supply driven approach to familiarise Members with the type of contribution it can make to their organisations. The main dissemination mechanism through the Internet is cost-effective so this approach should not be a significant drain on the resources of either organisation.

According to users the target groups for *Trade BioRes* should include government officials, policy makers and other decision-makers, CBD signatories and NGOs active in the trade and environment field. This coincides more or less with the groups targeted by ICTSD and goes even beyond that. A few users were of the opinion that it should also be useful to academic institutions. Another felt that a special effort should be made to target people on the periphery, for example craft organisations that need information to inform opportunities for international trading.

ICTSD has implemented some mechanisms to determine whether they have reached their target audiences. They do surveys to request feedback from potential users; note oral feedback; check the statistics on Website downloads; and also track (although not consistently and systematically) how it is referenced in other publications.

Dissemination and accessibility

ICTSD has developed a dissemination strategy for *Trade BioRes* which is based on their targeted groups and which uses the Internet as main mode of distribution. The use of the Internet has been found to be very effective. User opinion indicates that 70% prefer electronic distribution through Internet and email, while only 25% prefer hard copies (usually in addition to the electronic copies). Printed copies in a more attractive format are made available at events such as conferences, the CBD COP and key IUCN and CEESP meetings.

Results from their monitoring mechanisms give ICTSD reason to believe that their international reach is quite good, but that there can still be significant improvements especially at regional level and in the case of developing countries. This is one of the reasons why IUCN involvement in designing a dissemination strategy is regarded as important. They could then for example make better use of IUCN Regional Offices to reach important but currently unknown targets in developing regions. ICTSD hopes that cooperation with IUCN in developing a concerted distribution strategy can assist in the wider dissemination of material tailor-made for specific IUCN component programme audiences.

A survey among subscribers conducted by ICTSD in 2003 pointed out that the distribution by organisation was quite balanced, with an equal reach to civil society groups, government and academia. Development NGOs numbered twice as many as environmental NGOs. Among government departments the numbers of subscribers from environment and foreign affairs/trade ministries were almost even. The survey also pointed out that more outreach activities could be targeted at businesses, media and international organisations.

As with other publications, language remains an issue in the eyes of users in regions such as Meso America. In their opinion the usefulness of the information demands the translation of *Trade BioRes* into more languages in order to make it accessible to larger audiences. This was confirmed in the 2003 survey which also highlighted the need for a more balanced geographical distribution. The number of subscribers located in developing countries

(especially in Asia and Africa) was significantly lower than those found in industrialised countries, while few subscribers were located in French or Spanish speaking countries. This could be due to language constraints or to a lack of awareness of the publication in these regions. Both aspects need strategic attention. ICTSD also aims to increase the emphasis in content on the concerns of developing regions such as Africa. This also has the potential to increase the reach of the information.

Case study information indicates that 57% of users have passed *Trade BioRes* on to others. Thirty five percent have not done so while the rest declined to comment. Most pass it on to colleagues or to those they believe might be interested, for example, excerpts are often sent all TRAFFIC staff around the world. In one instance it is passed on to four different listserves related to the WTO, intellectual property management, globalisation and the global farming crisis. Others pass it on to different ministries involved in trade policy making. The reach of *Trade BioRes* is thus probably much further than subscriber data indicate. According to ICTSD data the *Trade BioRes* pages on the Website also receive on average around 700 visits per month.

It should be noted that users have found CEESP knowledge products to be some of the least accessible of all Commissions. Only 29% felt that their products were readily accessible, 43% most of the time and 29% only sometimes. The reasons for this are not clear.

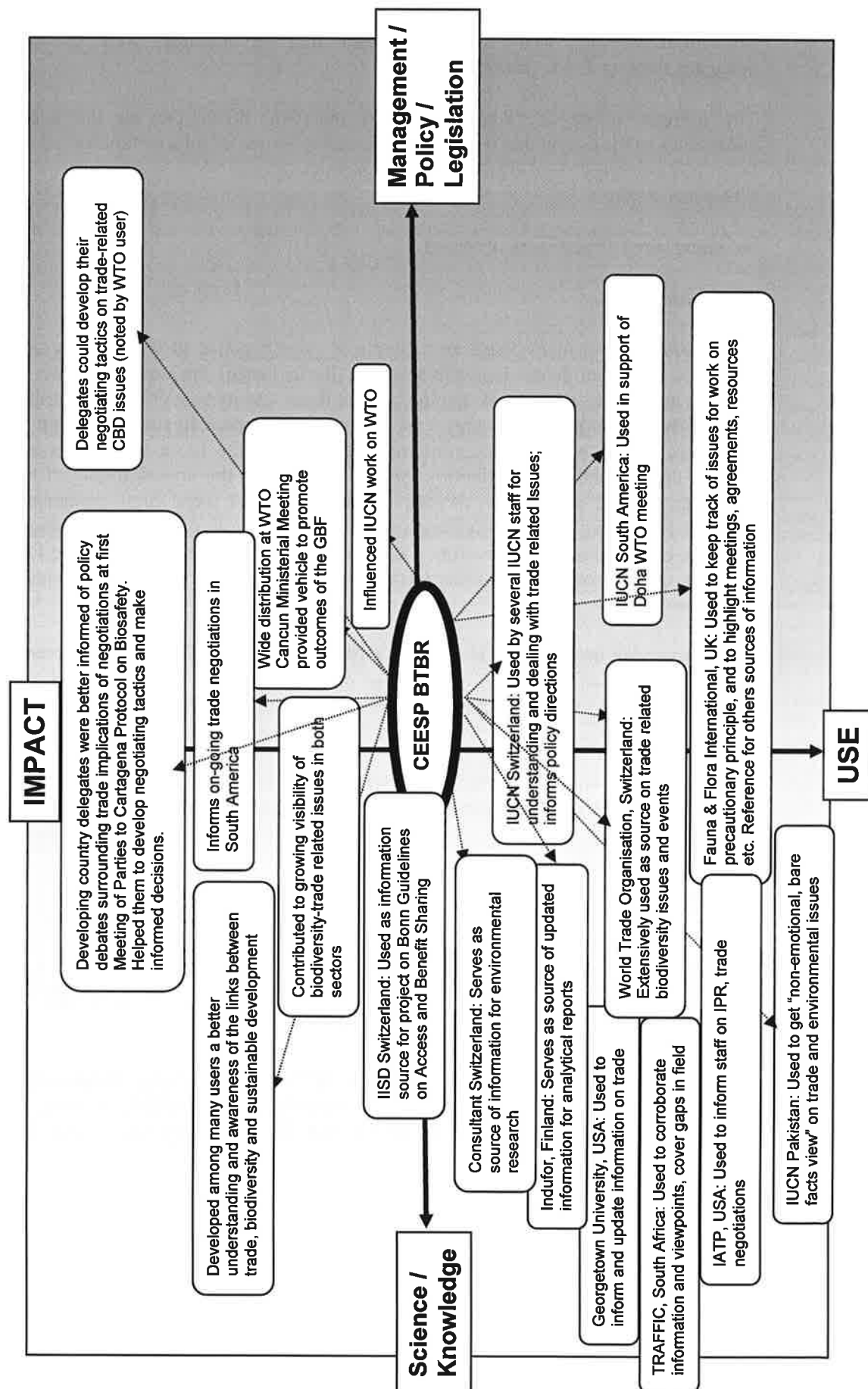
Use, results and influence

Eighty seven percent of users noted that they or their organisation had used *Trade BioRes*. Only 4% had not done so. The rest declined to comment. The patterns of use are in line with the expectations of its producers. The vast majority have used it to keep themselves and/or their organisations informed of developments in the trade and environment nexus and to keep building their capacity in this regard. All but one of the ten IUCN staff who responded acknowledged that it had played an important role in increasing their understanding of, and dealing with, trade related issues. It has also played a role in informing their policy directions and work on WTO initiatives.

Figure 2.3 provides examples given by users of use, results and influence of *Trade BioRes*¹⁰. The nature of its systematic capacity building aim and role also determines that concrete results and influence will be hard to pinpoint. Only 26% of users indicated that they could identify concrete results flowing from the use of the publication, while only 17% could identify any influence other than the building of their own capacity. However it did develop among many users a better understanding and awareness of the linkages between trade, biodiversity and sustainable development and through this awareness creation contributed to the growing visibility of these issues in the conservation sector. Users noted that this had also happened in the trade sector, but as most of the users who provided inputs were from the conservation sector, we could not confirm this observation.

¹⁰ We have used this method of presentation only as a rough indication of the different types of use and influence of the product found in the different parts of the world. The axes have not been carefully defined and the placement of the statements of use and influence has no particular significance; they are only roughly situated in the correct quadrant without using a well defined scale on the two axes. For a more accurate visual presentation clustering approaches on well defined scales can be used and we provide such examples in the newly developed methodology for tracking knowledge products which is described in a separate document.

Figure 2.3 Use, results and influence of the CEEP/ACTSD product, BRIDGES Trade BioRes, around the world, based on the responses of 26 users (refer also to the footnote in this section under *Use, results and influence*)



Specific meetings where *Trade BioRes* was acknowledged as having had influence is the First Meeting of the Parties to the Cartagena Protocol on Biosafety, where it assisted developing country delegates in decision-making and negotiating tactics; and the WTO Cancun Ministerial Meeting, where the earlier GBF meeting outcomes were publicised among delegates through *Trade BioRes*.

The frequent citing of *Trade BioRes* in analytical documents on the Internet further contributes to the notion that it is used as a credible source of information for research.

Unexpected effects

No unexpected effects were observed.

Some observations

Trade BioRes is in many ways an example of good practice in terms of the drivers for its existence, the confidence it inspires among its audience, the unique manner in which it informs and builds capacity, its quality control focus and its cost-effective distribution – even though the dissemination strategy can be improved, especially in partnership with IUCN. Users are almost without exception enthusiastic about the niche that it fills as well as its format, content and the contribution that it is making to the understanding of the trade, the environment and sustainable development interface. A very high percentage of those contacted are using *TradeBioRes* and its influence, although difficult to pinpoint, are in line with the expectations of its creators. Lessons can also be learnt about making full use of the benefits of electronic distribution methods to increase the reach of a product in a cost-effective manner.

The partnership between IUCN, through CEESP-GETI, and ICTSD raises several questions. Is this an approach that IUCN should take more frequently when it does not have in-house capacity, yet identifies an emerging area or an important niche to fill that would help it achieve its desired outcomes? If such partnerships are formed, how can high quality and an equal partnership be ensured? And what strategies can be employed to ensure that IUCN's capacity is built in the process? We believe that IUCN as a whole through CEESP-GETI should be more involved in shaping *Trade BioRes* both in terms of its content development and its distribution strategy. The new emphasis on trade and the environment in IUCN should encourage the organisation to play a more dynamic role in this regard.

2.3.2 Case Study: *Policy Matters Volume 12*

Policy Matters, Vol. 12, September 2003. Community Empowerment for Conservation. Volume of the CEESP newsletter / quarterly journal published jointly with WCPA in preparation for the World Parks Congress in Durban, South Africa.

The context

According to its mandate CEESP has the challenge to provide IUCN with the expertise and knowledge on the economic, social and cultural factors affecting natural resources and biological diversity, and to provide guidance towards effective policies and practices in

environmental conservation and sustainable development. It aims to “lead IUCN’s critical thinking and learning and inter-disciplinary efforts towards more equitable, viable and sustainable action for natural resource management and conservation” and to develop, articulate and provide effective advice in support of IUCN’s efforts in this regard. In order to focus its work, CEESP has selected four priority themes, (i) Collaborative Management; (ii) Environment and Security; (iii) Environment, Trade and Investment; and (iv) Sustainable Livelihoods.

During this Intersessional Period CEESP has done extensive work to produce some of the knowledge that IUCN might need to increase its focus on social and economic issues in conservation. The analysis of 109 knowledge products of the Commissions shows that with few exceptions the 22 CEESP products selected for analysis were all based on the Knowledge strategy of the Intersessional Programme (Figure 2.6). As can be expected, their potential contribution to the changes IUCN wants to effect are clustered around KRAs 2 (Social Equity) and 5 (Ecosystems and Sustainable Livelihoods) (refer to section 3.8.2 of this report for more information on IUCN’s Key Result Areas or KRAs) with a smaller contribution to KRA 3 (Conservation Incentives and Finance) through the work of its Working Group on Environment, Trade and Investment (CEESP-GETI).

Table 2.6: Profile of the main potential contributions of 22 CEESP knowledge products to the expected results of the 2005-2008 Intersessional Programme

Result	n	%*	Description of Result
2.1K	14	64	Improved understanding of the interdependent nature of social equity and biodiversity conservation
3.1K	5	23	Improved understanding of how markets, institutions and socio-economic forces create incentives or disincentives for the conservation and sustainable use of biodiversity
5.1K	16	73	Improved understanding of how social, economic and environmental objectives can be reconciled in the management and restoration of ecosystems
CEESP products also contribute to a much smaller extent to Results 1.1K, 1.2K, 4.1K, 4.5G and 5.5G			

* Note that a knowledge product can contribute to more than one Result.

At the beginning of the current Intersessional period the CEESP Collaborative Management Working Group (CMWG) undertook to assist IUCN members, partners and regional offices in developing and supporting initiatives that link field-based experience in participatory management with the development of local capacities and the elaboration of national, regional and global policies. This was to be done jointly with the CEESP-WCPA Theme on Indigenous and Local Communities, Equity and Protected Areas (TILCEPA; earlier called TFLCPA).

During the past four years CMWG and TILCEPA (which overlap significantly in membership and activities) have produced many documents within this broad focus. They published several books in English, Spanish and French, several special issues of *Policy Matters* and other IUCN journals (such as two issues of *Parks* jointly produced with WCPA), *Briefing Notes* for SBSTTA and CBD, and volumes of methods and tools, for example for the participatory evaluation of protected area governance. They also produced nine regional reviews of community involvement in conservation and several papers focusing on historical analysis.

Much of the work done in 2003 addressed the governance of natural resources with a specific focus on community conserved areas and co-managed protected areas, as this was a significant theme in the Governance Stream of the World Parks Congress.

At the same time the Working Group on Sustainable Livelihoods aimed during this Intersessional period to develop, achieve, support and demonstrate context-specific solutions to local environmental and livelihood problems, and from such experience draw appropriate lessons for policy. It promoted approaches that integrate poverty eradication, the respect of human rights and the ecosystem perspective at both policy and field level. The results of WGSL work have been summarised in at least five special issues of *Policy Matters*, *Briefing Notes* for the CBD, and video productions.

It is in the context of the work of these three groups that *Policy Matters Volume 12* was selected as one of two CEESP case study products.

The product

During this Intersessional Period the CEESP *Policy Matters* newsletter has evolved into a “Quarterly Journal”. What used to be a relatively short publication is now far more ambitious and elaborate. It is published twice per year and distributed to all CEESP members as well as at conferences and meetings throughout the world. Where possible it is released concurrently with major global events as a thematic contribution to the event, and to civil society meetings linked to these events.

Volume 12 is the latest in the series. Published in September 2003 and released at the World Parks Congress, as a case study for the Commissions Review it provided an opportunity to test how quickly use and impact could be detected after the release of a product aimed at informing a wide audience.

Policy Matters Volume 12 consists of nearly 50 case studies, analyses of field experiences or related articles by 50 CMWG members. It is divided into four sections: (i) The complexity of governing protected areas; (ii) Civil society speaks out! (iii) CCAs and CMPAs: a full spectrum of learning and struggles; and (iv) New resources from CEESP members. It also includes CEESP news items.

According to one of the co-editors of *Policy Matters Volume 12* it was important to provide an opportunity for juxtaposing opposing views in one publication, showing the difference of opinion among the authors of the different articles.

The reasons for creating the product

During recent years *Policy Matters* has grown to the extent that there is confusion among users over whether it is a newsletter (the last volume consists of 320 pages!) or a journal. According to the CEESP leadership it is a “place of dialogue” which provides a forum to air ideas and to stimulate debates “that have political as well as technical meaning”. It is seen as a place where people can “share knowledge but also advocate principles, pathways and ideas”, and is to provide an opportunity to host the reflections of conservation stakeholders, practitioners, decision makers and policy makers at various levels, to “address broad issues and concerns rather than narrow technical points”. It is also to be a forum “where barriers can be overcome and partnerships can be established, among others with other IUCN Commissions”.

A theme is identified for each volume, often linked to a specific event and driven by one of the CEESP working groups’ topics of interest. *Policy Matters Volume 12* was thus conceptualised to serve as input into the WPC, with as pertinent theme *Community Empowerment for Conservation* which is a main thrust in the work of CMWG and TILCEPA. Contributions were invited from members of CMWG, WGSL and TILCEPA (although all contributions are acknowledged as coming from CMWG members).

As far as we could establish, the theme for each volume is identified by a select group of Working Group Steering Committee members in conjunction with the CEESP leadership. During this Intersessional Period neither the Commission nor its working groups had a formal, systematic process – for example using a situation analysis - through which they could determine priority themes for publications that can best serve the changes they need to bring about to be true to their respective mandates.

The development process

The Vice-Chair for CMWG (who is also the Co-Chair of TILCEPA) extended invitations for contributions to *Policy Matters Volume 12* to CMWG, WGSJ and TILCEPA members eight months before publication. The call for papers requested contributions that highlight experiences with protected areas governance involving local and indigenous communities. Some contributions were solicited from well-known individuals.

Many individual case studies, opinions and analyses were submitted. Some were “distilled debates”, for example from large meetings in Africa and Central America. The five co-editors participated in a process of exchange with authors aimed at improving the submissions before finalisation of the content. This process was coordinated by the Vice-Chair for CMWG.

Profile of the “users”¹¹

The case study of *Policy Matters Volume 12* is based on a document review as well as on the inputs of 59 users and 11 key informants who were knowledgeable about knowledge production in CEESP or involved in the production of the journal. Forty six percent of users were very familiar with the product, 34% fairly familiar and 14% somewhat familiar. Three percent did not know it at all, while the others did not venture an opinion.

For this case study we selected users for interviews with regional representation from the membership list of the CMWG as well as on recommendation of by key informants. We also conducted the survey based on random sampling from the CMWG and WGSJ working groups of CEESP, as well as TILCEPA. In the absence of any other distribution information (much of the distribution was done at WPC which made tracing of users virtually impossible) we considered these groups as the most likely users of *Policy Matters Volume 12* within the short period of its distribution.

Table 2.7 provides a breakdown of the user profile for interviewees and survey respondents. The relatively large percentage of Commission and IUCN respondents is in line with the groups targeted for the interviews and survey. The inputs per region are very well aligned with the membership distribution, except for a significantly higher than expected response rate for Oceania. More than 60% of users were from the NGO and academic sectors, while only 15% were from governments or government agencies.

We did not have a breakdown of the institutional representation of the CEESP membership. It would have been interesting to know if this breakdown of users reflects the membership’s institutional representation.

¹¹ Note that as stated in section 1.4.2, we employ the term “users” to include *potential* users of the product or service, not only those who have actually used these products or services.

Table 2.7 CEESP Policy Matters Volume 12 user inputs by Commission membership, statutory region and type of institution

Commission Affiliation	Number of users	% of users	
Commission members	46	78	
Not Commission members	9	15	
IUCN staff	4	7	
<i>Total</i>	<i>59</i>	<i>100</i>	
Statutory Region	Number of users	% of users	% CEESP members*
Africa	11	18	17
Meso and South America	7	12	13
North America and the Caribbean	8	14	18
South East Asia	7	12	11
West Asia	1	2	4
Oceania	7	12	5
East Europe, North and Central Asia	2	3	2
Western Europe	12	20	26
Unknown	4	7	5
<i>Total</i>	<i>59</i>	<i>100</i>	<i>100</i>
Type of Institutions	Number of users	% of users	
Academic institutions	14	24	
Consultants	6	10	
Specialised media	0	0	
NGOs	18	31	
International NGOs	5	8	
IUCN	4	7	
Government organisations and agencies	7	12	
EU, UN agencies	2	3	
Unknown	3	5	
<i>Total</i>	<i>59</i>	<i>100</i>	

*Percentage of Commission members in that region

Timing

Seventy one percent of users felt that the release of the product was appropriate to address the need at which it was aimed, while 5% felt that it was too late to make a real impact. The fact that its timing coincided with the WPC where these issues were again highlighted in workshop streams and various discussions gave it significant impetus. Many users felt that although the issues, experiences, debates and possible solutions were not necessarily new, they were still important enough to highlight and emphasise in this manner, and could still affect policy and practice.

Those critical of the timing felt that these issues had already been explored elsewhere and have been topics for heated debate already since the 1980s.

The quality and cutting edge nature of the product

Seventy three percent of users were of the opinion that the style and format of *Policy Matters Volume 12* were appropriate for its purpose. Only 10% disagreed with this view; the rest did not offer an opinion. In general users found the publication to be user-friendly and practical and they appreciated the short case study format. A significant number felt that the overall length of the publication was too long, which could lead to missed opportunities to influence policy and decision-makers.

According to the coordinating editor of *Policy Matters Volume 12* it was designed, printed and distributed from Iran through CENESTA, the CEESP host institution, in order to save costs. A significant number of users noted that the magazine format, the “look” of the issue, the paper and the binding should be improved. Several users also felt that the publication should carry the IUCN logo or reflect its corporate identity.

Eighty six percent of the 59 responding users viewed *Policy Matters Volume 12* as a credible and reliable source of information; none disagreed. They believed in the product for several reasons: (i) the articles were written by practitioners with first hand experience of their topic; (ii) the authors were generally respected, (iii) the IUCN was regarded as an organisation with great credibility; and (iv) a good number of references were cited for most of the contributions. Surprisingly, some users expressed concerns even when they had noted that they regarded the publication as credible and reliable. They felt that while some portions were in order, others were not scientifically documented and seemed to be too closely affiliated with personal ideas, thoughts or reviews of the subject. They pointed out that this could bring a certain bias or inclination towards self-promotion.

Several key informants shared these concerns and in some cases expressed sharp differences with the general perceptions of the users. The key informants are generally closer to, and have had long alliances with IUCN, while many of the users are relatively new to the organisation. The key informants’ concerns about *Policy Matters Volume 12* stemmed from perceptions about the lack of scientific rigor and supporting research (“some articles are based on opinion only”) and appropriate synthesis; the lack of clarity about its purpose; and the lack of novelty in debates and viewpoints. Some also felt that CEESP promotes a specific world view that was too often reflected in *Policy Matters*. They felt that it would be problematic to base syntheses, for example for policy purposes, on case studies and analyses that could be flawed in these respects.

Twenty four percent of users indicated that the main contribution of *Policy Matters Volume 12* was to bridge theory and practice in order to assist practitioners. Twenty three percent noted that it added value by repackaging existing knowledge to provide new insights, while 21% believed that it developed essential capacity. Only 16% felt that it generated new knowledge that would advance the field.

In spite of this, 73% viewed *Policy Matters Volume 12* as a cutting edge contribution. The users gave a number of reasons for their assessment. The most frequently cited were (i) it gave a voice to practitioners and highlights practical experiences; (ii) it broadened the understanding of complex issues by exploring examples from all over the world and presenting them in one publication; and (iii) it consolidated existing knowledge in a well packaged way to provide insights into important current issues.

Again a few users and especially some of the key informants differed sharply. They questioned the purpose of *Policy Matters* in terms of their understanding of the role that CEESP has to play within IUCN, as well as the strategic value of a “voluminous ideas exchange document” in helping to position IUCN as important contributor to policy thinking.

Quality assurance

We were told that CEESP does not have formal, systematic peer review processes that mobilised significant numbers of external reviewers or were guided by official review guidelines. We recommend that CEESP should pay attention to this aspect to ensure the credibility of *Policy Matters* among all stakeholder groups, especially if it is to be a fully-fledged journal.

In the case of *Policy Matters Volume 12* the editorial board acted as peer review panel. It consisted of five co-editors, some of whom were well known in their respective fields. The coordinating editor was the Vice-Chair of CMWG and Co-Chair of TILCEPA. With input from the other editors she led the process of interaction with the authors to improve submissions before their final acceptance for publication. Formal guidelines and standards were not used and all co-editors did not have insight into all the articles.

Targeting

In principle *Policy Matters* remains a newsletter targeted primarily at CEESP members. In the foreword the Chair of CEESP notes that *Policy Matters Volume 12* aims to host the reflections of conservation stakeholders, practitioners, decision makers and policy makers at various levels. It was compiled to stimulate new thinking and debate around protected areas management at the WPC in South Africa. The audience targeted by the producers of *Policy Matters Volume 12* thus implies a much broader coverage than just Commission members. Users' opinion took this even further. They felt that *Policy Matters Volume 12* could be aimed at policy makers, protected areas/natural resource managers, project designers, NGOs, community leaders, development practitioners and conservation students.

This immediately raises the question of the appropriateness of the current format for such a broad spectrum of audiences. Several users noted that in order to reach policy makers as its producers intended, the material will have to be distilled, synthesised and presented in a more appropriate format. In its current format they thought that it would best serve practitioners and conservation students. In fact more than 60% of user responses came from NGOs and academic institutions and it therefore seems to have reached this audience.

In the absence of more information we cannot comment on whether it succeeded in reaching the other very important target group - policy makers and those "connectors" who have a strong influence on policy – many of whom might not be Commission members and hence not targeted for inputs during this component of the Review.

Dissemination and accessibility

Between 1 500 and 2 500 copies of *Policy Matters* are normally printed. *Policy Matters Volume 12* was distributed to those Commission members who requested a copy, and those who wanted more were charged a small amount per additional copy (one of only two case study examples where payment for products was required). Generally the distribution patterns more or less followed the target groups conceptualised during the development of *Policy Matters Volume 12*, but in view of the focus of the work of CEESP on IUCN and on policy makers it is surprising that a more systematic and coordinated distribution strategy was not used which would ensure that all IUCN Offices could help with organised distribution to IUCN Members, or could target influential policy makers and "connectors". Copies were distributed at the last SBSTTA and COP 7 meetings and also sent to IUCN Regional Offices and to some IUCN Headquarters staff. The main target for distribution was the WPC as it was aimed at providing background material and supporting relevant sessions and debates at this event.

Policy Matters Volume 12 is available on the CEESP website, although its sheer size limits downloads especially from developing countries with limited email access. In spite of this, 32% and 33% of users respectively indicated that they would prefer Website access and hard copies, while 21% percent indicated a preference for CD ROM versions.

Fifty one percent of the users have passed *Policy Matters Volume 12*, or information about it, on to others; 31% have not done so. Again, as with the other case study products, this indicates that further distribution by those who receive it from IUCN is likely to make a

significant contribution to its availability and reach to audiences of which IUCN might not be aware.

Use, results and influence

Sixty four percent of users said that they had actually used *Policy Matters Volume 12*; only 19% had not done so. The rest refrained from giving an opinion. Twenty seven percent knew of concrete results, while 34% felt that it had had some influence on them. We found these percentages surprisingly high as the publication has been available for a few months only.

Figure 2.4 shows the use and influence of *Policy Matters Volume 12* as reported by users¹². As can be expected, it is being used mainly to help evolve the thinking and understanding around relevant issues among NGOs, protected areas managers and related agencies, and academic institutions. It creates awareness, provides case study material for planning and teaching, broadens the perspectives of students and informs management practice. Two IUCN Regional Offices in Africa are using it to help them design a course for natural resource managers and in compiling lessons about how natural resource management contributes to livelihood security and poverty reduction.

An interesting example of a concrete result is found in Madagascar, where the change in legislation to include communities in decision-making and the management of protected areas has been directly attributed to the insights gained through *Policy Matters Volume 12*. It also served as a critical background document for the relevant workshop streams at the WPC and was used as part of lobbying processes at the recent SBSTTA and COP 7 meetings.

The unexpectedly high number of users who reported influence at this early stage was mostly due to their changing attitudes towards, and improving their understanding of, issues around community conserved areas and the concept of community empowerment for conservation. Even at this early stage *Policy Matters Volume 12* is proving to be a powerful tool for change at field level, although significant work needs to be done if it is to contribute to marked changes at policy level – as CEESP knowledge products and services have to do.

Unexpected effects

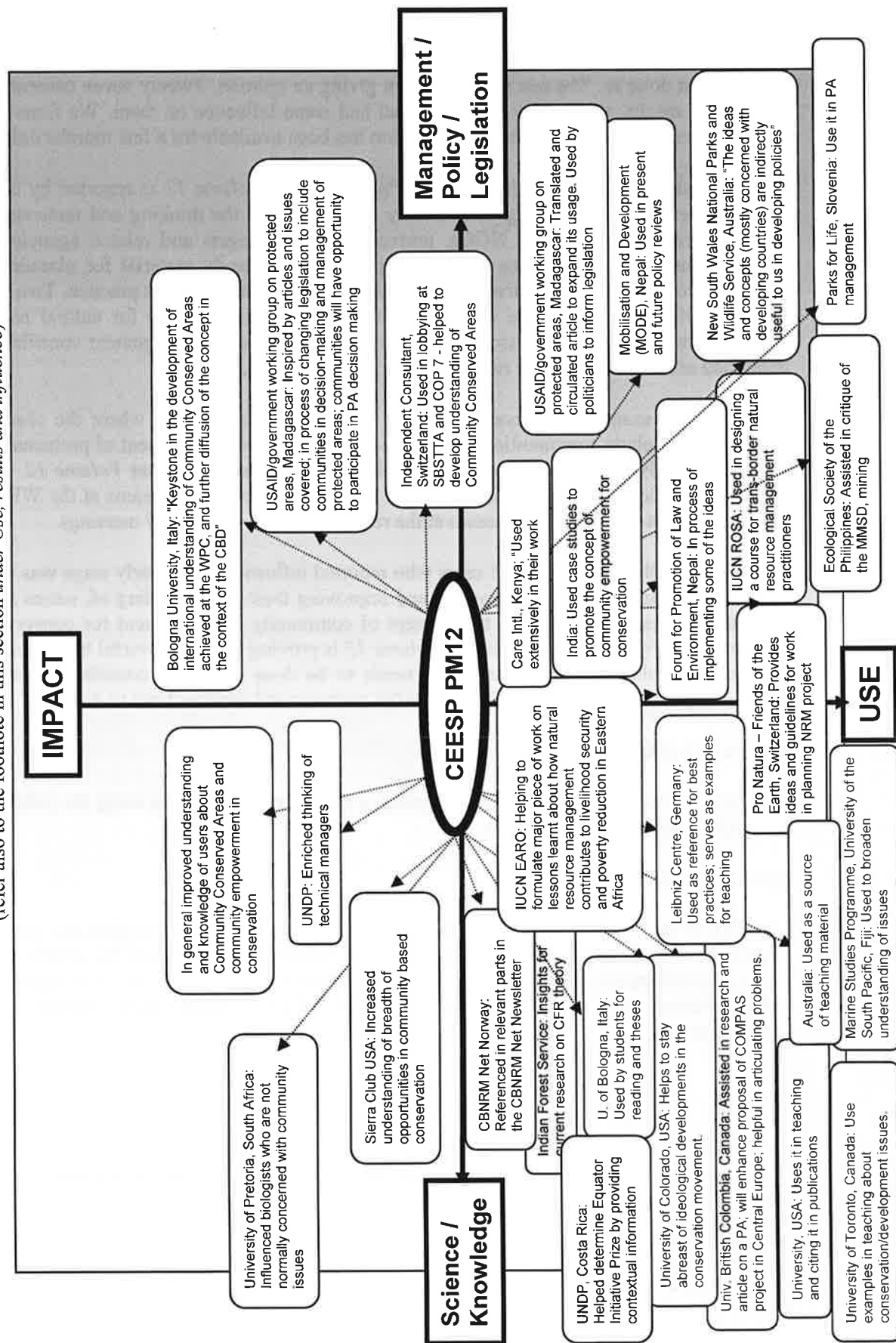
Although universities were not a target group, a significant number are using the publication for teaching and research purposes.

Some observations

The CEESP approach to link *Policy Matters* to large events where it supports the content of workshop streams is proving to be a successful mechanism to enhance the profile of this series of publications. Linking *Policy Matters Volume 12* to the WPC is an example of the value addition that can be obtained through effective partnerships between IUCN components.

¹² We have used this method of presentation only as a rough indication of the different types of use and influence of the product found in the different parts of the world. The axes have not been carefully defined and the placement of the statements of use and influence has no particular significance; they are only roughly situated in the correct quadrant without using a well defined scale on the two axes. For a more accurate visual presentation clustering approaches on well defined scales can be used and we provide such examples in the newly developed methodology for tracking knowledge products which is described in a separate document.

Figure 2.4 Use and influence of the CEESP product, *Policy Matters Volume 12*, around the world, based on the responses of 59 users
(refer also to the footnote in this section under *Use, results and influence*)



According to its Chair, the focus of CEESP should be on informing policy, and this means that its key knowledge products should reflect and contribute to this approach. For example, value addition that should be considered is a conceptual and systematic analysis and synthesis of the material in *Policy Matters Volume 12* to inform policy and decision makers at global and regional level, as well as IUCN Members and Secretariat staff. This will require information in formats more suitable for these target groups. It will also capitalise on the IUCN comparative advantage that enables it to distil from field experiences not only contextualised best practice, but also credible policy inputs.

Equally important is that its key knowledge products should inform IUCN's expertise in understanding the economic, social and cultural factors affecting natural resources and biological diversity, assisting the organisation in the integrating social and economic sciences in its work. We are thus concerned about the sharp difference in viewpoints between users and key informants - both within and outside IUCN - on the quality and merit of the volume.

These disparate viewpoints raise an important issue. In the natural sciences, knowledge can usually (although not always) be judged to be true or false based on scientific data, systematic observation, experimental testing and other rigorous scientific methods. The delivery of social science knowledge can be far more complex and is often mired in controversy where no answer is right or wrong. In its efforts to generate useful knowledge, CEESP is well positioned to play the traditional IUCN convening role by providing a platform for competing viewpoints - as *Policy Matters* indeed aims to provide. However, CEESP then has the responsibility to ensure that the delivery of knowledge is done based on criteria such as clear argument, socially and politically responsible standpoints in line with the vision and mission of IUCN, application of basic academic quality measures and being systematic and purposeful in taking debates forward, especially in terms of feeding them into relevant IUCN programmes. The interface between CEESP and the thematic and regional IUCN programmes need to provide scope for quantifiable and rigorous work, but also for philosophical debate and interrogation of theoretical and practical issues and around the integration of social and economic sciences in the program.

Thus, if CEESP is to guide IUCN in the effective integration of social and economic sciences in its work, it will be very important to follow this approach with *Policy Matters* and all other CEESP products and services in order to build credibility and mutual respect, and to mutually search for the best mechanisms through which to ensure that the knowledge generated by CEESP enhances the work of IUCN.

As for the other Commissions, it will also be important for CEESP to determine what "cutting edge" means in the context of the policy related work of the Commission and in terms of what IUCN needs from CEESP. As pointed out by the users, many of the issues raised by *Policy Matters Volume 12* are important but not new, while the broad mandate of CEESP makes it even more difficult to determine which products will be the most strategic contributions to the changes that IUCN wants to bring about in the world.

More purposeful and systematic processes in this regard will prevent the current perception of a significant number of key informants (and some users) that the partisan interests of a small group of CEESP members are driving much of the work and knowledge production in the Commission.

Being at the forefront in knowledge production – as is required from IUCN Commissions - will have implications for the constitution of the CEESP membership. Should it focus on expanding to bring in more community members, as it proposes to do, or should it focus on bringing the most respected experts, known to be on the cutting edge of their field, into the Commission? What will the implications be of bringing in one or the other, or both types of

expertise, for knowledge production by the Commission? These issues require careful and visionary consideration by the CEESP leaders in conjunction with the IUCN leadership.

2.4 Commission for Environmental Law (CEL)

2.4.1 Case study: *Capacity Building for Environmental Law in the Asian and Pacific Region*

Donna G Craig, Nicholas A Robinson and Koh Kheng-Lian (eds). *Capacity Building for Environmental Law in the Asian and Pacific Region. Approaches and Resources. Volumes I & II*. Published by the Asian Development Bank, Manila, Philippines. 2002.

The context

CEL advances environmental law through the development of new legal concepts and instruments that conserve nature and natural resources and reform patterns of sustainable development, and by building the capacity in regions to encourage, establish, implement and enforce environmental law effectively. It provides education and information about environmental law and advises governments about how to establish environmental law to further sustainability. CEL implements these objectives through the CEL membership, its network of environmental law centres, lawyers in IUCN Regional Offices and the staff of the Environmental Law Centre (ELC).

The work of CEL and ELC has recently been closely aligned through the Environmental Law Programme (ELP), which has several approaches to advancing environmental law. Among these are a number of “key knowledge and capacity building” themes which include capacity building at global, regional and national levels.

CEL is active in knowledge production in many forms. It has a number of Specialist Groups (SGs) that are organised to promote conceptual work in environmental law and help CEL to contribute more effectively to the IUCN Programme. The focus areas of these SGs provide the framework for knowledge production in the Commission. The ELC libraries collection hosts one of the world's largest and most comprehensive collections of environmental law literature, covering the entire spectrum of issues related to environmental conservation. Requests for data and assistance from all over the world have led to ECOLEX, an Internet-based environmental law information system. It is a joint UNEP/IUCN project, recently expanded through cooperation with the UN Food and Agriculture Organisation (FAO). The ELP also publishes a series of Environmental Policy and Law Papers, which focuses on the work done for various projects and addresses emerging and critical topics. Innovative research is to be a focus of the newly established IUCN Academy of Environmental Law.

The analysis of the Commissions' knowledge products (refer to Annex 6 for a list of these products) shows that as could be expected, the potential effects of the CEL knowledge products are firmly situated in KRA 4 (International Engagement for Conservation) of the IUCN Programme (refer to section 3.8.2 of this report for more information on IUCN's Key

Result Areas or KRAs). Together with WCPA it is also the Commission whose knowledge products contribute most to the Governance strategy of the Programme (Table 2.8).

Table 2.8: Profile of the main potential contributions of 15 CEL knowledge products to the expected results of the 2005-2008 Intersessional Programme

Result	n	%*	Description of Result
4.1K	10	67	Improved understanding of how international arrangements can support more efficient, effective and equitable biodiversity conservation
4.2E	3	20	Enhanced capacities of decision makers to understand and promote the relevance and effectiveness of international arrangements that impact on biodiversity conservation
4.4G	8	53	Improved relevance and effectiveness of international environmental arrangements
5.4G	4	27	National and sub-national policies, laws and institutional arrangements better integrate human wellbeing with biodiversity conservation.
CEL products also contribute to a small extent to Results 2.1K, 2.2K, 3.1K, 3.2K, 4.5G, 5.1K and 5.2K			

* Note that a knowledge product can contribute to more than one Result.

The product

The two-volume book *Capacity Building for Environmental Law in the Asian and Pacific Region (CEL CBEL)* is the first comprehensive environmental law book based primarily on materials from the Asian and Pacific region. It combines national, sectoral and international approaches to the teaching of environmental law in the region. The two volumes totalling more than 1 700 pages document how environmental legal education can be used for sustainability education in an entire region. The content is based on materials used in the ADB funded IUCN/ APCEL/UNEP "Training the Trainers" courses held in 1997 and 1998 at the National University of Singapore.

The two volumes fulfil the dual role of being a resource book as well as a teaching tool for educators in environmental law in the region. The foreword states that the book

"adopts a broad view of sustainable development as the basis of modern environmental law with an emphasis on social justice and equity. This requires that environmental law address and incorporate social, cultural, and economic in addition to the physical environment".

The first volume introduces the concept of environmental law and capacity building; offers a comparative overview of Asian and Pacific environmental law; and an overview of major strategies, mechanisms, processes and sectoral concerns of environmental law. The second volume deals with international environmental law and regional cooperation, including the ASEAN legal framework and financing sustainable development.

The reasons for creating the product

CEL through its mandate and participation in the ELP has an important focus on capacity building in environmental law at global, regional and national levels. This was so even before the current Intersessional Period. With the regionalisation of IUCN in the early nineties CEL focused much of its effort on regionalising its structure and activities, and on helping to build capacity in the regions.

The 1992 Rio Declaration on Environment and Development and Agenda 21 adopted at the Rio Earth Summit meant that developing countries had to participate fully in the adoption and implementation of a large number of multinational agreements. They needed to transform these international obligations into national laws and integrate environmental considerations

into their development processes. While in the early 1990s international environmental law was a flourishing discipline in universities and law schools of developed countries, it was a neglected discipline in developing countries. This severely limited the capacity of these countries to address all the necessary requirements.

Paragraph 8.26 of Agenda 21 called specifically for the provision of better facilities in educational institutions for postgraduate and in-service training in environmental and development law. By then the Steering Committee of the Commission had already identified the need to strengthen the capacity of countries to implement environmental law, starting with university educational services. The then Chair of CEL initiated a drive to develop environmental law expertise in the region as a pilot project to be applied in other regions of the world. He prioritised the building of capacity in environmental law education as a foundation for sustainable development, using a “training the trainer” approach to capitalise on its multiplier effect.

In 1995 the Asian Development Bank provided IUCN with a grant to work with the Faculty of Law of the National University of Singapore, UNEP and others to teach intensive environmental law courses. The Asia-Pacific Centre for Environmental Law (APCEL) was established in 1996 by the Faculty of Law of the University of Singapore in partnership with CEL. Two *IUCN/APCEL/UNEP Training the Trainers Courses on Capacity Building for Environmental Legal Education* were held for one month each in 1997 and 1998 at the National University of Singapore. The aim of the courses was to develop and enhance the capability of law schools to teach environmental law and to become centres of resource and excellence for the development of environmental law within their countries, and in the Asian and Pacific region as a whole.

The product was produced as a direct outflow of the course experiences. The teaching materials were revised, updated and edited for wider dissemination and use in the region. The resulting two-volume compendium was intended to facilitate the development of environmental law in the Asian and Pacific region using local resources and appropriate novel frameworks, so that it could effectively participate in the negotiation and implementation of the international environmental agreements as well as in the creation of legal and institutional frameworks through national and local laws.

In the process the Commission deepened their own understanding of environmental law, increased the capacity to do Commission work in Asia and the Pacific, and succeeded in provided an enduring legacy for the Commission in that region.

The development process

The planning for the courses on which the case study product was based took place over a two year period during which a Planning Committee constituted of experts from ADB, IUCN, UNEP, ESCAP and members of the Faculty of Law of the National University of Singapore met seven times to design the syllabus and select presenters. Partnerships were formed with the Asian Development Bank (ADB), the Asia-Pacific Centre for Environmental Law at the University of Singapore (which was established during the negotiation process), the United Nations Environment Programme (UNEP), United Nations Institute for Training and Research (UNITAR), the United Nations University (UNU) and others. More than 30 resource persons selected from some of the best in the world taught in each course. The courses were attended by 63 law professors from 15 countries in Asia and the Pacific. Some of the course participants were very senior people such as deans from five law schools, the head of curriculum for the law schools in Pakistan and one of the most famous lawyers in India.

The editors distilled the extensive course material into the core components essential to teach environmental law in the region. They substantially revised the content and scope of the teaching materials, updating and adding as required, and collating case studies and materials from the region. Initially, when the courses were established, resource materials were scarce, but with various inputs more than 7 000 pages informed the material for the book.

We were told that in total more than 200 resource persons and technical assistants contributed to the book, either by providing resources or their expertise. A final review of all material was held at APCEL by the editors in 2001 before the final preparation of the book for publication in 2002.

Profile of the “users”¹³

The case study of *Capacity Building for Environmental Law* is based on a document review as well as on the inputs of 21 users and six key informants who were involved in the conceptualisation and development of the product. Forty six percent of users were very familiar with the book, 34% fairly familiar and 14% somewhat familiar. Ten percent were not familiar with the book. The rest did not venture an opinion. Table 2.9 provides a breakdown of the user profile for interviewees and survey respondents.

Table 2.9 CEL *Capacity Building in Environmental Law* user inputs by Commission membership, statutory region and type of institution

Commission Affiliation	Number of users	% of users
Commission members	9	43
Not Commission members	10	47
IUCN staff	1	5
Unknown	1	5
<i>Total</i>	<i>21</i>	<i>100</i>
Statutory Regions	Number of users	% of users
Africa	1	5
Meso and South America	3	14
North America and the Caribbean	1	5
South East Asia	12	57
West Asia	3	14
Oceania	0	0
East Europe, North and Central Asia	0	0
Western Europe	0	0
Unknown	1	5
<i>Total</i>	<i>21</i>	<i>100</i>
Type of Institutions	Number of users	% of users
Academic institutions	10	47
Private sector/Consultants	0	0
Specialised media	0	0
NGOs	4	19
International NGOs	1	5
IUCN	1	5
Government organisations and agencies	1	5
EU, UN agencies	0	0
Professional bodies	4	19
Unknown	0	0
<i>Total</i>	<i>21</i>	<i>100</i>

Our time for this case study was more limited than that of most of the others and this affected the success with which we could trace potential users. We initially identified users for

¹³ Note that as stated in section 1.4.2, we employ the term “users” to include *potential* users of the product or service, not only those who have actually used these products or services.

interviews from a short list of key potential users provided by CEL and when adequate contact details and timely responses could not be obtained, moved on to several other lists: those who were invited to attend the launch of the product in several centres around the world; those who attended the courses which formed the basis for the book; and young professionals who were research fellows at the ELC and who received a set of the books as part of their farewell package. We chose to do sampling based on regional representation. In many cases we had only email addresses and were dependent on quick response to email invitations for interviews, which were held with those who responded first.

We sent the survey questionnaire to all 102 people on a list provided by CEL at a later stage as their most updated list of potential users in Asia.

As we did not focus on users from Commission member lists, a relatively large number of users who gave inputs are not Commission members. The regional distribution also reflects the targeted way in which we tracked users from Asia and the Pacific. As can be expected when the target groups are taken into account, the majority of inputs (66%) were obtained from academic institutions and professional bodies.

Timing

Fifty seven percent of users who responded to the relevant question felt that the book was released in time to address the need at which it was aimed. Twenty four percent did not know how to respond, while the rest preferred not to give their views. None felt that it was released too late to make any impact.

The quality and cutting edge nature of the product

Eighty six percent of users viewed the book as user-friendly and attractive and in the right style and format to reach its audience. Only five percent disagreed; the rest did not give their opinion. Those who disagreed felt that the book was too unwieldy. A majority of users therefore also welcomed its availability in CD ROM format.

Eighty six percent of users agreed that the book was a credible and reliable source of information. No-one disagreed. The reasons given for this trust in the product were the reputation of IUCN and of the authors and editors, as well as the use of multiple sources of information and numerous references.

Sixty two percent of users felt that this was a cutting edge product, while 14% disagreed. The rest did not respond to the question. Users motivated their response by saying that the book filled an important gap in the region by compiling relevant material from diverse sources and viewpoints to be easily accessible, and it provided a toolkit for the teaching of environmental law. At the time (and even now) nothing similar existed. The prominence given to sustainable development with an emphasis on social justice and equity as the basis of environmental law was also appreciated.

One book reviewer noted the following:

“This book is quite simply one of the most useful environmental law texts ever produced. It offers a wealth of information even for the most experienced environmental lawyer. Although primarily written for course instructors, equally students, legal practitioners and scholars will benefit enormously from working with it. It is good to know that the complexities of an entire legal field can sometimes be captured in a single text.”

Those who felt that this was not a cutting edge product based their opinion on the fact that there was an unevenness in the quality of the content in different sections and that it

repackaged existing material rather than providing new analysis or adding new knowledge to the field.

Quality assurance

CEL has a firmly expressed interest in effective quality assurance and the publications of the ELP are normally subjected to rigorous peer review processes by a group of experts (often the Steering Committee of 11 members).

The quality assurance for this particular book was based on the fact that its development was an iterative process over a long period with input from more than 200 people, most of them experts from different parts of the world. An advisory group of eminent people oversaw each step of the development of the courses on which the book was based. During the course delivery the resource persons sat in on and critiqued one another's contributions. The concepts were tested with the course participants who were experienced people in their own right. Seven thousand pages of material (usually peer reviewed) were obtained from the best available sources over a period of several years. The editors, each an expert in a field of environmental law, rigorously went through each page used in the book. The final draft version was submitted to a professional editor for final editing.

Targeting

While the book was primarily targeted at educators in the field of environmental law, the authors also expressed the wish that it be used by "lawyers, judges, legislators, public officials, administrators, private sector executives and business leaders, representatives of civil society, students and others interested in environmental law and sustainable development".

This agrees broadly with the users' opinion of the most appropriate target groups: educators in environmental law, researchers, students, environmentalists, judges, lawyers, NGOs, journalists and "anyone who needs a good overview of the various environmental legal issues".

Dissemination and accessibility

As far as we could determine, the audiences to whom the book was distributed were more or less in line with the targeted audiences:

- Participants in the launch of the book in five cities (Washington, Lahore, Bonn, Singapore, Tokyo). Invited guests included prominent individuals and strategically important institutions.
- Institutions in the region, for example to all the major universities, and other key educational and environmental centres all over the world.
- All IUCN Regional and Country Offices for further distribution.
- The initial course participants who came from many academic institutions in 15 countries in the region.
- Targeted NGO and government experts as identified by CEL.
- Research fellows and special guests who spent time at ELC.
- Participants in further courses, for example one soon to be held in the Philippines.

- Distribution by the ELC, especially to participants at major events related to environmental law.

We do not have detailed information on the distribution by the key institutions – the Asian Development Bank, who among others agreed to make available 2 500 CD ROM versions of the book for free and to sell the hard copies for the reasonable price of \$50 per copy (ADB has already published a second edition), CEL and APCEL. The book is not available on the Internet.

Forty eight percent of users passed the book, or information about the book, on to others. Twenty nine percent did not. Again, as with the other case study products, this indicates that further distribution by those who receive it from IUCN is likely to make a significant contribution to its availability and reach to audiences of which IUCN might not be aware.

Fifty three percent of users prefer this product to be available in hard copy; 24% prefer a CD ROM version. Eighteen percent indicated a preference for a Web based version. Several users suggested publishing a loose leaf version per topic or chapter, or a cheap paperback edition in order to cut costs and make the hard copy, which most prefer, more practical.

In terms of the accessibility of the Commission's products and services in general, 38% indicated that these were readily available and 42% that they were available most of the time, while only 12% were of the opinion that they were available sometimes or not at all.

Use, results and influence

A surprisingly high 76% of users said that they or their organisation had used the book. Only 5% admitted that they had not done so. The rest did not give this information. Fourteen percent also confirmed that they knew about the use of the book by other individuals or organisations.

Nineteen percent of users confirmed that the book had led to concrete results; 67% were not aware of such results. Twenty nine percent noted that the book had an influence on them or their organisation; 57% were not aware of such influence.

This product has been available for less than two years, yet has reached and affected its primary audience, that is, the educators in environmental law in Asia and the Pacific. Examples of use, results and influence are shown in Figure 2.5¹⁴. Nearly all the examples of use focus on capacity building among those who teach or study environmental law – as the producers of the book had hoped. The impact of this will take significant time to become apparent, but should lead to the result envisaged by CEL, namely improved capacity to participate effectively in the negotiation and implementation of the international environmental agreements as well as in the creation of legal and institutional frameworks through national and local laws.

As can be expected, the main influence after such a short period is reflected in the improvement of the knowledge of institutions and individuals either teaching or working in environmental law. The best example is APCEL, who was involved in the development

¹⁴ We have used this method of presentation only as a rough indication of the different types of use and influence of the product found in the different parts of the world. The axes have not been carefully defined and the placement of the statements of use and influence has no particular significance; they are only roughly situated in the correct quadrant without using a well defined scale on the two axes. For a more accurate visual presentation clustering approaches on well defined scales can be used and we provide such examples in the newly developed methodology for tracking knowledge products which is described in a separate document.

process of the book from the beginning of the courses, and which has through their involvement become leaders in the region.

Unexpected effects

- The process - from the initiation of the courses to the production of the book – and the role played by APCEL has inspired other regions to attempt to do the same. There are now ten such centres around the world. While the project in the Asia-Pacific region was implemented as a pilot project, this interest and growth in centres had not been predicted.
- The book contributed to the interest of universities to form a network through the International Academy for Environmental Law.
- We were told by key informants, and users commented on the fact that the book has significantly raised the profile of CEL in Asia and the Pacific region.

Some observations

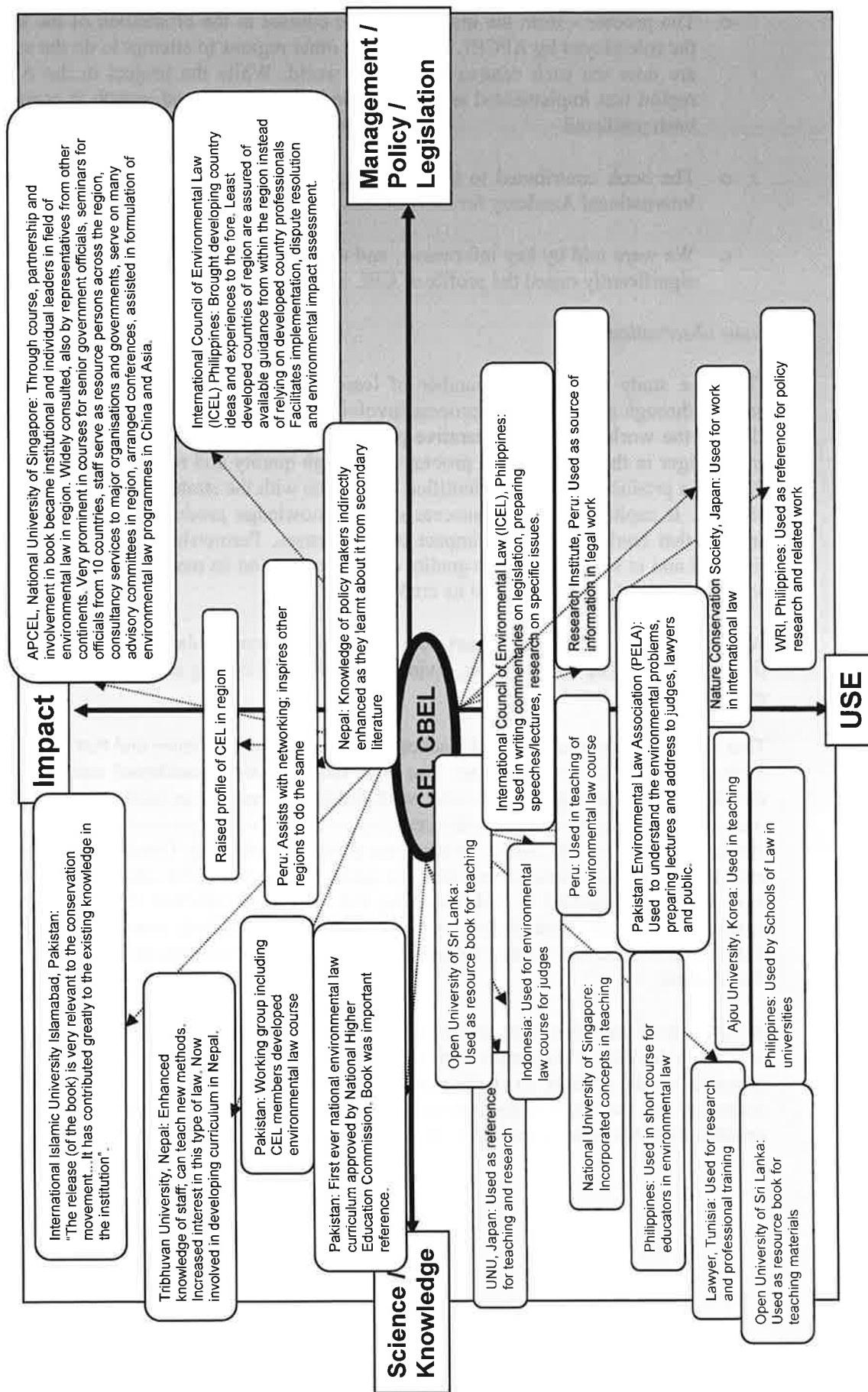
This case study highlights a number of lessons. CEL has developed a widely respected product through a development process involving more than 200 knowledgeable people from all over the world. It used an iterative process and some of the best people in the world to ensure rigor in the development process and a high quality and relevant end result. The need for such a product was clearly identified and in line with the strategic directions and priorities of CEL. It capitalised on the success of one knowledge product, the courses, to develop another that could expand the impact of the courses. Partnerships brought resources, both financial and in kind, to enhance quality of the product and its reach. Among others the use of widely respected authors ensured its credibility.

While it did not necessarily impart new knowledge, it consolidated available information to fill an important gap in the region, giving it a profile as a cutting edge contribution to the field of environmental law

There are signs that the book has reached its primary target audience and that given more time it could achieve the desired impact. The other target audiences are broad and this complicates the distribution strategies (especially with limited resources) as well as monitoring of the success in reaching the target audiences. Dissemination of the product could have been more strategic to increase the chance of reaching all target audiences. Distribution efforts between partners were uncoordinated and in some cases those responsible admitted that they should have been more careful in their targeting and distribution method in order to increase the chance of influence. Distribution by CD ROM was particularly appreciated because of the bulky nature of the two printed volumes, but users still prefer hardcopies to any other mode of distribution.

As in some of the other case studies the number of users who gave inputs into this study was somewhat limited. This means that limited conclusions can be reached about the use and influence of the product on the targeted user groups. This aspect is further discussed in the document on the methodology developed for the tracking of knowledge products which resulted from the lessons learned in this study.

Figure 2.5 Use and influence of the CEL product, *Capacity Building for Environmental Law in the Asian and Pacific Region*, around the world, based on the responses of 21 users (refer also to the footnote in this section under *Use, results and influence*)



2.4.2 Case Study: *Flow*

Dyson M, Bergkamp G and Scanlon J (eds). *Flow – the Essentials of Environmental Flows*. IUCN, Gland, Switzerland and Cambridge, UK, xiv+118, 2003. Product of cooperation between WANI, ELC and CEL, with a contribution from CEM

The product

Flow – the Essentials of Environmental Flows is the second book in a series produced by the Water and Nature Initiative (WANI) which draws from the experiences in the IUCN WANI initiative while also informing these experiences. *Flow* is a joint product between WANI, ELC and the CEL Water and Wetlands Specialist Group, with some input from CEM. Its production was financially supported by the Government of the Netherlands and the Department for International Development in the UK through their support for WANI.

Flow is a guide aimed at offering practical advice for policy makers and all those involved in the implementation of environmental flows in the river basins of the world. It sets out in accessible language what must be done to restore environmental flow to a river or groundwater system. It draws on the experiences in several countries to offer hands-on advice and practical guidance on technical issues such as assessment methods and infrastructural adaptation, and the economic, legal and political dimensions of establishing environmental flows. It explains how to assess flow requirements, change the legal and financial framework, and involve stakeholders in negotiations.

Covering topics such as defining water requirements, modifying water infrastructure, financing, creating a policy and legal framework, generating political momentum and building capacity for design and implementation, it demonstrates how conflict over limited water resources and environmental degradation can be changed to evolve to a water management system that reduces poverty, ensures healthy rivers and shares water equitably.

The reasons for creating the product

The preface to *Flow* points out that environmental flows are “not a luxury, but an essential part of modern water management. It is an approach that deserves widespread implementation”. Yet this implementation has proven to be difficult. The challenges posed by the establishment of environmental flows include the integration of a range of diverse disciplines such as engineering, law, ecology, economy, hydrology, political science and communication, as well as the need for negotiations between stakeholders to bridge the different interests that compete for the use of water.

WANI supports national and local initiatives to establish environmental flows in countries such as Tanzania, Costa Rica, Vietnam and Thailand. CEL’s interest in the potential of the product grew from the activities of the recently established Water and Wetlands Specialist Group aimed at enhancing the profile of water - one of its key themes - in the ELP. Two of the editors were leading figures in the promotion of the work of the CEL Specialist Group, each with a personal interest and experience in the field of environmental flows. The common interests between this group, the Head of the ELP and WANI provided fertile ground for collaboration on this project.

During recent years the recognition has grown that environmental flows is an important emerging issue due to the worldwide overuse of water resources and the related degradation of ecosystems. According to anecdote the issue of environmental flows was a topic of lively

discussions at the WSSD in 2002, where NGOs and civil society groups pointed out the need for practical guidance on their implementation. The World Commission on Dams released a statement on the importance of ensuring environmental flows, while the World Bank also expressed a keen interest in developing a practical guide on this topic.

As no guidelines or legal framework existed to help implement environmental flows in practice, the convergence of opinion between leading figures in WANI, ELC and the CEL Water and Wetlands Specialist Group led to the decision to produce *Flow* in order to address this gap in the market. The idea of the book fitted with the mandate of the Commissions to foster and develop new and emerging areas, and to build capacity. The idea was thus supported by the CEL Steering Committee. Funding was also readily available through WANI. This served as an additional motivation for developing the publication.

The main aims of the book were to influence policy makers to promote the concept of environmental flows, and to equip a network of professionals from different disciplines with the knowledge to implement environmental flows. Its approach was to provide essential knowledge and to show where to access more detailed information, thus serving as a guide to the “essentials rather than as a resource for all the details.

Part of the benefit of having the book available was that its advice could then be tested in those countries where WANI has relevant interventions in river basins. This would be done in collaboration with national stakeholders, experts, policy makers and government officials.

The development process

The editors of the book were drawn from each of the three main partners in this joint effort. Initially the CEL Specialist Group members were to contribute, but in the end the authors came mostly from WANI contacts. The editors agreed on the authors and developed a draft outline for the book. The draft papers were shared among the authors and editors for peer review. The editors also sent some or all of the completed papers to four professionals from academic centres and government organs in Australia, Tanzania and the USA for their independent review.

Apart from the authors' and editors' experience and expertise in environmental flows, two events provided inputs to the development of the book - the outcomes of the workshop on environmental flows held by IUCN during the WSSD in 2002, and the comments on the presentation of its key elements to an audience of water professionals at the Third World Water Forum in Kyoto in March 2003.

Profile of the “users”¹⁵

This case study is based on a document review and on the inputs of 17 users as well as six key informants or initiators and producers of the product. Eighteen percent of users were very familiar with *Flow*, 41% fairly familiar, 29% somewhat familiar and 12% not at all familiar with it. Table 2.10 provides a breakdown of the user profile for interviewees and survey respondents.

¹⁵ Note that as stated in section 1.4.2, we employ the term “users” to include *potential* users of the product or service, not only those who have actually used these products or services.

Table 2.10 CEL/WANI *Flow* user inputs by Commission membership, statutory region and type of institution

Commission Affiliation	Number of users	Percentage of users
Commission members	2	11.8
Not Commission members	15	88.2
IUCN staff	0	0
<i>Total</i>	<i>17</i>	<i>100.0</i>
Statutory Region	Number of users	% of users
Africa	1	5.9
Meso and South America	2	11.8
North America and the Caribbean	5	29.4
South East Asia	3	17.6
West Asia	0	0
Oceania	1	5.9
East Europe, North and Central Asia	0	0
Western Europe	5	29.4
<i>Total</i>	<i>17</i>	<i>100.0</i>
Type of Institution	Number of users	% of users
Academic institutions	0	0
Private sector/Consultants	1	5.9
Specialised media	1	5.9
NGOs	4	23.5
International NGOs	3	17.6
IUCN	0	0
Government organisations and agencies	6	5.9
EU, UN agencies	1	5.9
Unknown	1	5.9
<i>Total</i>	<i>17</i>	<i>100.0</i>

WANI provided us with a targeted list of 207 people regarded as of strategic importance to *Flow* (and to the other WANI publications). We identified users from this list based mainly on their regional representation. The survey questionnaire was sent to all people on the list who were not interviewed. Commission members were not a target for the book and responses came from users who were mostly not Commission members.

Fifty eight percent of the inputs were from developed countries in North America and Western Europe. This reflected the user contact list which was targeted primarily at influential individuals and organisations in these regions. This was also the only case study product where the inputs were obtained in almost equal measure from government agencies and NGOs.

Timing

Sixty five percent of users believed that *Flow* was released in time to address the need at which it was aimed. Twelve percent disagreed and viewed it as too late to make an impact, while the rest did not give an opinion.

The reasons presented by those who believed that it was released too late were not clear and it is therefore impossible to judge the merit of their argument.

The quality and cutting edge nature of the product

Eighty two percent of users felt that the product was user-friendly and attractive enough to reach its target audience. Although no-one found that the style and format inappropriate for their own purpose, several pointed out that it might be too “academic” for field practitioners

or local decision-makers from communities, while policy makers would ideally require a concise text.

Eighty two percent of users felt that *Flow* was a credible and reliable source of information. Their opinion was strongly based on the credibility of IUCN, but also on the reputation of the authors. One user involved in a similar initiative in the USA (producing an overlapping publication) felt that *Flow* was consistent with their findings and experiences.

Only six percent of users felt that the content was not credible or reliable. Their views were based on what they perceived as confusing statements, biases or incomplete approaches. Some of the examples cited include a perception of bias of opinion towards “working with a development philosophy” rather than working for stakeholder outcomes; the lack focus on “bottom-up approaches”; a lack of attention to upstream/downstream problems, “understating the trade-off problems”; and a lack of focus on other regions of the world, thus ignoring “useful experiences in countries such as Spain, Morocco and Tunisia”.

Forty seven percent of users were of the opinion that this was a cutting edge product in its field. Eighteen percent disagreed, while 35% ventured no opinion. We were told that *Flow* was the first comprehensive practical guide ever produced on environmental flows which encompassed economic, social, legal and technical aspects. From this perspective it is filling an important niche; this was confirmed by many of those users who regarded it as a cutting edge product.

On the other hand, of the case study products and services studied for the Review, *Flow* had the lowest number of users referring to the product as “cutting edge” and a significant number of users were lukewarm in their comments about the value that the book has added to the field. They felt it to be “a good starting point” but “not comprehensive enough for those familiar with the issues”; that it summarised existing knowledge but did not provide new insights; and that those who could benefit most – people working on the ground, in the opinion of many users – “will probably not read the book”.

An explanation for the somewhat divergent views among the users could be that the majority came from countries where the concept of environmental flows has been known and implemented on a wider scale than in many developing countries. According to one of the editors, developing countries were the primary audiences for the book and he experienced great enthusiasm for the book in Viet Nam and Sri Lanka, as well as appreciation of its comprehensive nature among World Bank staff working on environmental flows.

We were also told that the producers of the book did not intend for it to be based on classic science or research that would advance the frontiers of knowledge in the field, but wanted to bring together new and valuable knowledge rooted in the practical experiences and opinions of those working on the ground. We understand that this is in line with one of the roles that CEL wishes to play through its knowledge generation initiatives.

Quality assurance

While formal peer review guidelines were not used in the peer review processes for *Flow*, several steps were taken to ensure the quality of the book by testing the idea, content and various chapters through various means:

- The editors selected reputable authors for each of the papers.
- The draft papers were shared between the three editors and nine authors as an internal peer review mechanism.

- According to one of the authors, a draft of the book was tested by six panel experts in conjunction with an audience of experts as well as people less familiar with the field, at a dedicated side event at the WSSD. The draft content was then further reviewed using a similar process at the Third World Water Forum in Tokyo.
- Independent peer review was done by four professionals from academic centres and government organs in Australia, Tanzania and the USA.
- A journalist was involved in finalising the text to ensure that it was reader-friendly.

Targeting

According to the initiators of *Flow* the book was targeted at the wide range of people who will need to form a coalition to provide environmental flows. These are the “politicians and policy makers, the environmental and consumptive water use lobby groups and other NGOs, the river communities and individual naturalists, and the engineers, hydrologists, planners, economists and lawyers”. Reaching these groups with one publication is a challenge and if this was to be done, would imply the need for a general and practical guide that could serve as introduction and guide to the main issues in the field to develop a common vision of what could and should be done. This is in line with how *Flow* was conceptualised.

Users concluded that the book should be targeted at policy makers, government officials and those who influence policy, organisations involved in developing river basin plans, water managers, stakeholders in river basins and academic institutions. This is in line with the audiences for the book envisaged by its initiators, although as pointed out before, such a wide spectrum of user audiences has complex implications for format and content.

Dissemination and accessibility

Most of the initiators of the case study products and services did not devise specific contact lists of influential people and organisations as part of their dissemination strategies. WANI did this for *Flow*. A list of was compiled of more than 200 key people and institutions who in their opinion could benefit from exposure to the book and bring about change based on what they had learnt. The list included managers from IUCN Headquarters and Regional Offices as well as government representatives, powerful international NGOs and the UN. Each received a copy of the book. The IUCN Regional Offices also received a large number of copies for distribution in each region. CEL received 200 copies for distribution of the total of 3 000 that were printed. Further distribution of hard copies was done at relevant events, meetings and academic courses around the world.

Flow is also available on the websites of WANI and ELP. More users than for any other case study product noted that they obtained their copy of the book from the Internet.

Fifty nine percent of users said that they had passed *Flow*, or information about the book, on to others, while 29% said that they did not. Twelve percent did not give an opinion. This again highlights the unknown audience to whom the Commission products are distributed and the potential role that this secondary distribution can play in making Commission products available to those who otherwise might not have been reached.

For easy accessibility 45% of users still prefer hard copies, 27% Website downloads and 23% CD ROM versions.

Use, results and influence

Fifty three percent of users indicated they or their organisations have used *Flow*. Although still a significant number, this was the lowest percentage of all the case study products. Thirty five percent acknowledged that they had not used it, while the rest had no opinion on the matter. Few examples of use were cited (Figure 2.6¹⁶). Even though 18% said that they could identify some influence of the book on themselves or on their organisation, no valid examples of results or influence were given.

A factor affecting use would be the relatively short period of eight months during which *Flow* has been available. At present *Flow* is still used only as an information source for those involved in environmental flow projects, but there are no signs that it has started to impact on the implementation of projects on the ground. On the other hand, the impressive number of downloaded copies of *Flow* indicates a great demand for the text among potential users. From August 2003 to 5 February 2004 the number of downloads was 6 292, with the majority downloaded from the ELP Website. According to one of the editors the demand for the book keeps on growing. For example, a recent side event at the UN Commission on Sustainable Development 12th Session (CSD-12) attracted 60 people and following an introduction to the book, “all wished to obtain a copy”, according to the editor. This was followed by an order of 40 more books from one institution in the USA. An institution in Australia has also requested several hundred copies for use in training courses. As a result of demand the book is now also being translated into Spanish.

Unexpected effects

According to anecdote the release of the book has stimulated some antagonists of the approach in *Flow* to present alternatives, although it is not yet clear how they will respond.

The producers of *Flow* welcome the fact that its release has elicited debate and response on the topic, as this helps them to meet their goal in highlighting the importance of the topic and the urgent need to ensure effective environmental flows across the world.

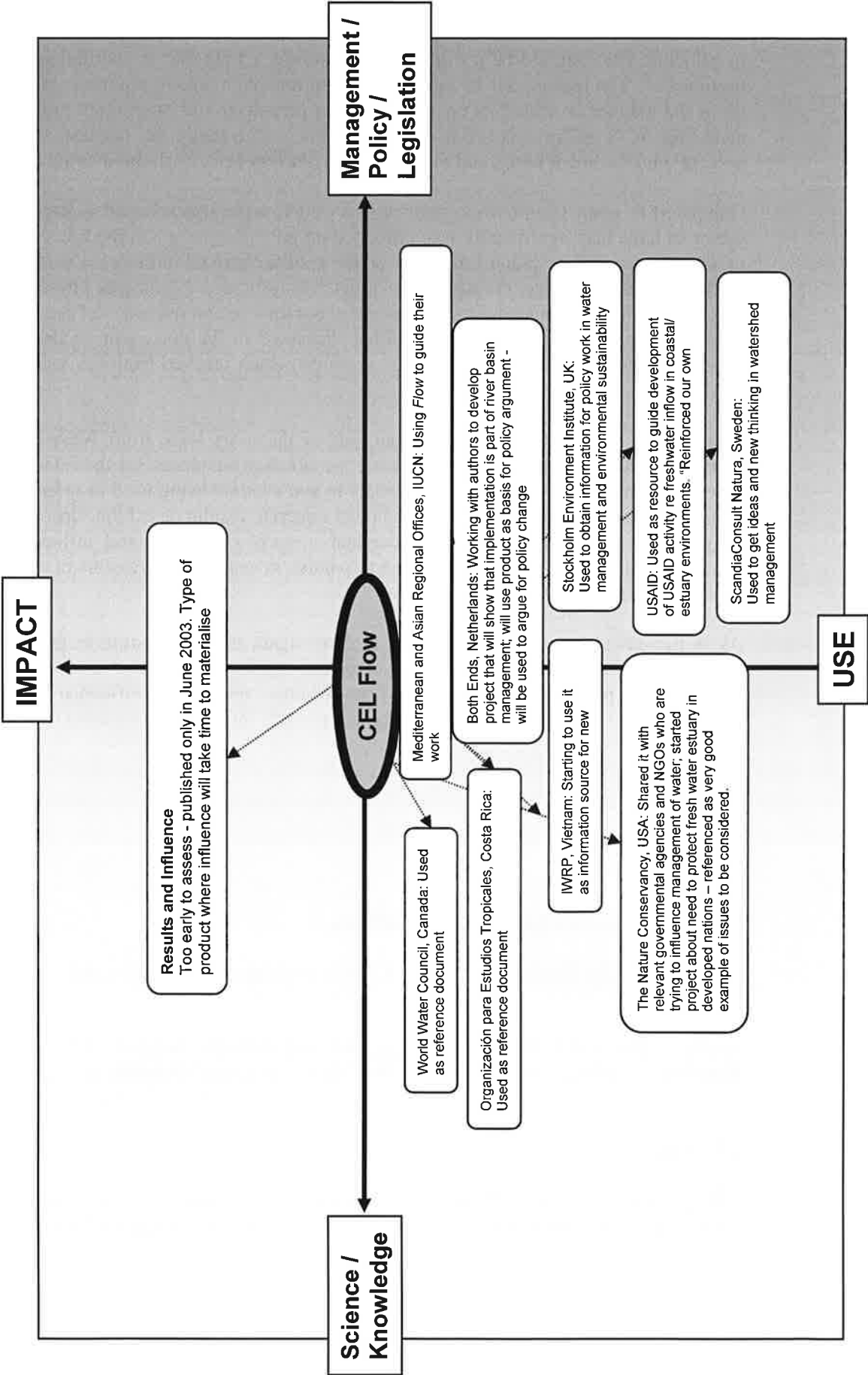
Some observations

We appreciate the joint initiative between ELC, CEL and WANI and support the CEL value addition to the efforts of a major IUCN initiative by explaining the legal requirements and approaches in a field that is bound to become more important in future. Furthermore, we appreciate the fact that *Flow* is part of a broader strategy by CEL and its partners to get environmental flows on the agenda. The book has complemented side events at the WSSD, the World Water Forum and others, and is being used at training sessions in Viet Nam, Costa Rica, Tanzania and Sri Lanka. The ELP is now producing supplementary materials, for example an academic paper on International Law and Environmental Flows, and a comprehensive analysis of the provisions of river basin treaties and MEAs. CEC is also aiming to use *Flow* for its distance learning initiatives.

All these efforts support our view that the Commissions and IUCN as a whole should search for ways to add value to, and enhance the use of, a knowledge product through further initiatives that build on or add to the original. These value-adding initiatives could also help ensure better reach of target audiences.

¹⁶ We have used this method of presentation only as a rough indication of the different types of use and influence of the product found in the different parts of the world. The axes have not been carefully defined and the placement of the statements of use and influence has no particular significance; they are only roughly situated in the correct quadrant without using a well defined scale on the two axes. For a more accurate visual presentation clustering approaches on well defined scales can be used and we provide such examples in the newly developed methodology for tracking knowledge products which is described in a separate document.

Figure 2.6 Use and influence of the CEL/WANI product, Flow – The Essentials of Environmental Flows, around the world, based on responses from 17 users (refer also to the footnote in this section under *Use, results and influence*)



For example, although *Flow* was developed to influence among others policy makers, it is unlikely that it would easily reach this audience in its current format unless it is interpreted by others for this purpose, as one of the users is already doing in the Netherlands.

In principle *Flow* should be a useful contribution to a field that is continuing to gain more prominence. The reasons for its rather lukewarm reception among a portion of users seem to lie in the manner in which its content has been perceived and interpreted rather than in the need that it is addressing in the market. This could partly be because of the diverse perceptions of content needs and formats among its very broadly defined target audiences.

Compared to other Commission publications which were also released quite recently, *Flow* seems to have had significantly less influence on potential users. On the other hand it would be somewhat unfair to judge *Flow* only on the results obtained in this case study. As in some of the other case studies, the number of users who provided inputs was limited. This means that only limited conclusions can be reached about the use and influence of the product on the targeted user groups (This aspect is further discussed in the document on the methodology developed for the tracking of knowledge products which resulted from the lessons learned in this study).

Furthermore, as noted above, more than half of the users were from Western Europe and North America, which apparently were not the primary audiences for the book. *Flow* is still new on the market and although it is already to some extent being used as reference source, it would not have had adequate time to achieve concrete results or exhibit clear influence. We suggest that the producers of *Flow* conduct a study of its use and influence within an appropriate time and if this trend is seen to persist, investigate the reasons in order to inform future knowledge production initiatives.

As in the other case studies, responses to *Flow* again pose a question to the Commissions about where they wish to position themselves through their knowledge products, for example in terms of pushing the frontiers of knowledge, aiming to influence policy makers purposefully or addressing field implementation needs through the provision of basic texts for this purpose.

2.5 Species Survival Commission (SSC)

2.5.1 The Case Study: The Red List Criteria and Categories Version 3.1

IUCN. (2001) *IUCN Red List Categories and Criteria: Version 3.1*. IUCN Species Survival Commission. IUCN, Gland, Switzerland and Cambridge, UK. ii+30 pp

The context

SSC provides the world's largest pool of knowledge on species and their conservation, with more than 7 000 members organised more than 120 Specialist Groups and Task Forces. Most of these groups focus on taxonomy, while others work on inter-disciplinary topical issues such as the sustainable use of species. For 50 years the SSC has provided scientific information and tools to the conservation and development communities for decision-making

and planning about species, ecosystems and the people who depend on them. It has built its reputation on its firm principle to base its work on the best available science. Its members collect information on the status of the species, develop Action Plans, formulate recommendations and in some cases implement field projects. Its most famous products (and also that of IUCN) are the IUCN's Red List of Threatened Species, noted to be "the world's most comprehensive and authoritative global survey of rare and threatened species". The Red List indicates biodiversity loss and is used to help identify global conservation priorities. It alerts countries and regions to species of international concern and is frequently used to create and strengthen species protection laws.

SSC as a collective body thus monitors biodiversity based on the information provided by Commission members; analyses issues of concern to the conservation community; and helps to develop solutions through technical input for policy recommendations, strategies and Action Plans. As indicated in its Strategic Plan 2001-2010, during recent years it has aimed to develop more integrated analyses for use by the conservation community. With the advent of the Species Information System (refer to the next case study) it aims to focus more on problem-oriented analysis and outputs as a service to national and international biodiversity agencies. Its Action Plans based on regions and countries rather than only on taxonomic considerations also have higher priority.

Apart from the Red List of Threatened Species and the Action Plans, SSC publishes a wide variety of Occasional Papers, conservation guidelines and policy statements, monographs, and newsletters of the Commission and Specialist Groups. The analysis of 109 knowledge products included 20 from SSC (refer to Annex 6 for a list of these products). It showed that that as could be expected, the SSC products are firmly rooted in KRA 1, which focuses on understanding biodiversity (Table 2.11; refer to section 3.8.2 for more information on IUCN's Key Result Areas or KRAs).

The Red List Programme is one of the important thematic SSC programmes and many regard it as IUCN's signature product. Its goals are to provide a global index of the state of degeneration and biodiversity, and to identify and document those species most in need of conservation attention if global extinction rates are to be reduced. It publishes information on threatened species, continuously adding new information, works on Red List biodiversity indicators, does spatial analyses for planning and management, promotes best practice and trains and advises countries on the application of the Red List Categories and Criteria and the Regional Guidelines. The Red List of Threatened Species is an output of this programme, as is our case study product.

Table 2.11: Profile of the main potential contribution of 20 SSC knowledge products to the expected results of the 2005-2008 Intersessional Programme

Result	%*	Description of Result
1.1K	45	Improved understanding of species and ecosystems as well as of ecological processes and ecosystem functions.
1.2K	45	Tools and methods are available to assess status and trends of species and ecosystems at all levels.
4.1K	10	Improved understanding of how international arrangements can support more efficient, effective and equitable biodiversity conservation
5.1K	15	Improved understanding of how social, economic and environmental objectives can be reconciled in the management and restoration of ecosystems
SSC products also contribute to a very small extent to Results 4.2E, 4.4G, and 5.2K		

* Note that a knowledge product can contribute to more than one Result.

The product

In the late 1990s the SSC developed the Red List Programme as a comprehensive approach to its red listing activities. In essence, the product to be explored should have been the Red List Programme as a whole, as it forms one package designed for a specific set of results. However, within the short timeframe we focused only on one element that has a very specific role in the Programme. The *Red List Categories and Criteria Version 3.1* has been conceptualised as an easily and widely understood system for classifying species at high risk of global extinction. It lays down the rules for red listing by providing an “explicit, objective framework for the classification of the broadest range of species according to their extinction risk”. It thus gives an assessment of the likelihood of extinction of species under certain circumstances, but does not set priorities for action as such a process will have to include considerations such as costs, logistics, chances of success and others.

The objectives of the *Red List Categories and Criteria Version 3.1* are

- to provide a system that can be applied consistently by different people
- to improve objectivity by providing users with clear guidance on how to evaluate different factors which affect the risk of extinction
- to provide a system which will facilitate comparisons across widely different taxa
- to give people using threatened species lists a better understanding of how individual species were classified.

The publication outlines the system in detail. In different sections it presents basic information about the context and structure of the system and the procedures that are to be followed in applying the criteria to species. It defines the key terms used and presents the categories as well as the quantitative criteria used for classification within the threatened categories. It provides guidance on how to deal with uncertainty when applying the criteria, suggests a standard format for citing the categories and criteria, and outlines the documentation requirements for taxa to be included on IUCN’s global Red Lists.

Reasons for the product

The Red List initially (in the 1960s) grew out of a need for the information for conservation planning among SSC members who were working for governments and conservation NGOs. An inadequate indexing system and haphazard data collection processes led to the development over time of much more sophisticated methods and criteria which could be applied across the world. This was possible because of the SSC network that could link people to work on this common project. The first set of Red List Categories and Criteria was adopted by IUCN at its General Assembly in 1994, but following criticism went through a further period of review and refinement until this version was published.

Red Lists published during recent years have elicited a massive public interest and are now applied widely for national and global decision-making in the conservation arena.

The development process¹⁷

The IUCN Red List System was first conceived in 1963 and set a global standard for species listing and conservation assessment efforts. For more than 30 years SSC has been evaluating the conservation status of species and subspecies on a global scale - highlighting those threatened with extinction and promoting their conservation.

¹⁷ Quoted from the SSC Website

Over time, IUCN recognised that a more objective and scientific system for determining threat status, as well as a more accurate system for use at the national and regional level were needed. The IUCN Red List Categories evolved over a four-year period through extensive consultation and testing involving more than 800 SSC members, and the wider scientific community. The more precise and quantitative Red List Categories were adopted by the IUCN Council in 1994. In 1996 IUCN Members called for a further review to ensure that the criteria were applicable to a wide range of organisms, especially long-lived species, and species under intensive management. In addition, SSC was asked to ensure the highest standards of documentation (information supplied to justify a listing), information management and scientific credibility.

The revised Categories were adopted by IUCN Council in February 2000 and, following further refinement, were published as the *Red List Categories and Criteria Version 3.1*. All new assessments from January 2001 are to use this version. SSC plans to leave the system unchanged for a period long enough to allow changes in conservation status to be monitored. This is essential if the IUCN Red List is to be used as a reliable indicator of trends in biological diversity."

According to SSC new areas of conservation biology research have been spawned by the review process and many papers have already appeared in the scientific literature about the use of the *Red List Categories and Criteria*.

*Profile of the "users"*¹⁸

The case study of the *Red List Categories and Criteria* is based on a document review as well as on the inputs of 12 users and nine key informants with intimate knowledge of the product. Nine of the users were very familiar with the product, while three were fairly familiar with it. Table 2.12 provides a breakdown of the users who gave input into the case study.

We did not conduct a survey for this product. In hindsight this was a pity as more inputs would have yielded richer and more credible data for this important IUCN product. The sample is too small to provide a reliable indication of opinion in the larger community.

However, in view of the limited time at our disposal for the case studies we had to limit the number of surveys, and we were told by several of the key informants that SSC members were "tired of surveys as too many have been conducted recently". This was the critical factor in our decision not to pursue any further data collection among Commission members. Should more time have been available, lists of training workshop participants would have been a good source of contacts of potential users.

The candidates for interviews were selected from a list of known users provided by the Red List Office. Selection was based as far as possible on regional representation. As in the case of the other products, in view of time constraints for the data collection it was not possible to ensure balanced regional representation, as we had to work with those who responded first to our request for interviews.

¹⁸ Note that as stated in section 1.4.2, we employ the term "users" to include *potential* users of the product or service, not only those who have actually used these products or services.

Table 2.12 SSC Red List Categories and Criteria Version 3.1 user inputs by Commission membership, statutory region and type of institution

Commission Affiliation	Number of users	% of users	
Commission members	10	83	
Not Commission members	2	17	
IUCN staff	0	0	
<i>Total</i>	<i>12</i>	<i>100</i>	
Statutory Region	Number of users	% of users	% SSC members*
Africa	2	17	10
Meso and South America	3	25	11
North America and the Caribbean	2	17	23
South East Asia	0	0	16
West Asia	0	0	2
Oceania	2	17	14
East Europe, North and Central Asia	0	0	6
Western Europe	3	25	16
<i>Total</i>	<i>12</i>	<i>100</i>	<i>100</i>
Type of Institution	Number of users	% of users	
Academic institutions	4	33	
Private sector/Consultants	1	8.5	
NGOs	3	25	
International NGOs	1	8.5	
Government organisations and agencies (including national parks)	3	25	
<i>Total</i>	<i>12</i>	<i>100</i>	

Timing

Half of the users felt that the timing of the product was appropriate to address the need at which it was aimed. Four disagreed and felt that it was too late to make an impact. Two did not offer an opinion.

When the comments of users are interpreted, it becomes clear that the main reason given for the belief that the timing was not appropriate did not mean that the product was not considered to be useful. Rather, assessments had already started at national level and the cycle of work for these assessments therefore did not fit the cycle of updating of the categories and criteria. It would have been impossible to release the product at a time that would have been considered suitable for everyone.

The quality and cutting edge nature of the product

Eleven out of the 12 users were of the opinion that the style and format of the publication was attractive and user-friendly – the highest number of all the case study products. Only one user disagreed. Those who responded generally felt that the content was well presented but not necessarily user-friendly due to the perceived complexity of the guidelines. Several commented that training and exposure to implementation is necessary before the guidelines become more easily applicable. The Red List Office confirmed that in their experience users become much more positive about the use of the *Red List Categories and Criteria* when they have attended a training course on its use. This is one example where training as an additional “knowledge service” adds value to an existing Commission product. Two users referred to the summary table developed by Birdlife International as a product that enhances the usefulness of the guidelines.

Eleven of the 12 users felt that the product was a credible and reliable source of information. Again only one user disagreed on the basis that it was not credible for widely distributed species due to incorrect conjecture about the relationship between extinction and population decline, particularly for long-lived species such as sea turtles. We came across this argument as well as similar debates several times, including in the scientific literature. This is to be expected in any system that tries to simplify complex issues for application and that is to be applied globally across many species under many different circumstances. Clearly it might still have weaknesses which will require SSC to ensure that it is open to debate and the need for improvement.

Our perception is that this openness does exist and that improvement is possible through good quality assurance mechanisms (see below). The users interviewed felt that while there were some shortcomings, it remains the only – and a very good – international system for assessing species globally. One user commented that there were perceptions that developing countries' perspectives and experiences were excluded from decisions during refinement of the product.

Users felt that the product has added value to the field in many ways. As expected, users noted that it integrated and repackaged knowledge to provide new insights (33%), it bridged a gap between theory and practice (25%), it generated new knowledge that will advance the field (17%) and it develops essential capacity in the field (17%). Users noted that the Categories and Criteria were based on sophisticated thinking about extinction; that the fact that many species are data deficient has highlighted the need for applied research on trends and threats; and that in some cases the Criteria can stymie capacity development in some groups "because of the complexity they introduce to making judgments about species". Several users (and key informants) warned against a too narrow use of the Criteria.

The majority of users felt that the *Red List Categories and Criteria* was a cutting edge contribution to the field. Seven users felt that it advances the frontiers of knowledge in the field, while four felt that it rather builds capacity that is essential to progress. One person felt that it did not contribute to either capacity building or advancing the field.

Some of the key informants warned that the world was moving away from species and risk assessment towards more local sustainability issues. Before the late nineties this was a cutting edge product, but this is not necessarily so any more. They felt that without the *Species Information System (SIS)* - see section 2.5.2) it would not be at all well positioned to address the needs of decision-makers.

BOX 2.1: USERS' VIEWS ON THE RED LIST CATEGORIES AND CRITERIA

"For identifying biodiversity problems, this is a seminal work and in most countries, if a species is red listed, people and politicians will recognise the value of this".

"In Namibia I do not have a group to work with, but the *Red List Categories and Criteria* forces me to show how I made my decision for others to evaluate".

"It solves a lot of problems by providing a global framework. It is possible to compare with others and share similar standards between organisations. A virtual industry of red listing has grown and the criteria have helped to maintain standards and transparency".

"The *Red List Categories and Criteria* is providing decision-makers with clear and precise definitions of risk".

"It is increasingly credible and reliable. IUCN has made improvements over time, so it is becoming more and more credible".

"The *Red List Categories and Criteria* allows experts to create the 'best guesses' on species status in cases where data is incomplete, so that the information can be used in national policy and environmental impact assessments".

"It provides a platform for taking information from a number of different sources – shows gaps and reinterprets information. Its international status makes it serviceable across political jurisdictions".

"SSC is trying as hard as it can to produce a cutting edge product, recognising that capacity of users and information are often lacking".

"It is best for having people thinking in the same way. It might actually impede some aspects because it locks people into certain ways of thinking".

Opinions were very mixed about whether it contributed to current global agendas such as poverty, the Millennium Development Goals (MDGs) or the Poverty Reduction Strategy Papers (PRSPs). Users felt that the potential was there, but that several factors prevented it from reaching this potential. It clearly influences the trade agenda through CITES, although the benefit of some of the resulting decisions to conservation and to improving people's livelihoods could be questioned. It also had a linkage to the MDGs. However there was a feeling among users that the connection between red listing and poverty was not well understood and that awareness needed to be raised of biodiversity management and how setting priorities for conservation and development may have ramifications for communities. The perceived bias in red listing towards mammals also seemed to limit its usefulness to the global agenda.

Quality assurance

As noted before, the development of the SSC *Red List Categories and Criteria Version 3.1* entailed a lengthy process of consultation with national and regional groups. It was an open process of peer review during which input was encouraged not only from SSC members, but from experts outside the SSC network. Regional workshops were held to produce a draft version. Special efforts were made to ensure that experts from that region, and in particular those critical of earlier versions, were pulled into the process.

The Red List Standards Sub-Committee allows for ongoing modification and improvements to the interpretation of the Criteria based on comments received from the scientific community. The Sub-committee is selected to include the best experts from a variety of sectors, each at the cutting edge of their field and often not Commission members. The application of the Categories and Criteria is also monitored at global level by a system of checking and monitoring by the Red List Officer who ensures that the correct process has been followed, assessors who are species experts, and evaluators who determine if the Criteria have been correctly applied. The Red List Committee oversees the whole process. Appeals can be made and experiences from those involved in the application are used to refine the interpretation of the rules.

The process is generally accepted as transparent and scientific, which is critical to the credibility and wide acceptance of the Red List products.

Targeting

The *Red List Categories and Criteria Version 3.1* was intended for use by IUCN and CITES and all those working to gather data for the Red List. Others have been adopting the results, but not always for the right purposes and with misunderstanding of the intent and limitations of the system. The CBD has been promoting the system at country and regional level and a version has also been developed and adopted in 2003 for the application of these criteria at regional level.

Users' opinion of the target audience for the *Red List Categories and Criteria* focuses on the scientists and SSC members doing the data collection and those who make assessments of taxa and risk, as well as those developing conservation actions and assessing priorities. Main target groups according to the users are therefore the scientists, conservation practitioners, policy and decision-makers in the field, and those with influence these decision-makers.

Dissemination and accessibility

The distribution of the *Red List Categories and Criteria* was in line with expectations. It was distributed to all Commission members and also through the CBD where members are

required to report on endangered species. A limited number of hard copies were used and an on-line version is readily available. Training courses have been developed to assist those who have to apply the product. These courses further disseminate the information.

Eight users passed the product or information about it on to others – to national experts, colleagues in their own organisations and during training workshops for newcomers to the system. One international NGO distributed it to all its partners worldwide.

Seventy six percent of users found SSC products to be always or most of the time easily accessible, especially recently with their availability on the Internet. Ten percent felt that it was not so readily available. The rest had no opinion on the matter. Comments indicated some concern about the lack of availability of detailed information gathered during the red listing process, and an issue more related to communication in general, the lack of cross-fertilisation between Specialist Groups.

Most were satisfied with the method through which the *Red List Categories and Criteria* was distributed. Users appreciated the on-line version for distribution to their networks. Especially in developing countries hard copies would still be preferred. Several asked for a tabular version such as that used by Birdlife International. One user called for improvement of the accompanying training materials.

Use, results and influence

Even though the interviewees names were taken from a list of those expected to be using the product, only nine confirmed that they were applying the product, while three had not done so. We are not sure how to interpret this aspect. More than for any of the case study product, users were aware of other users of the product, pointing to a more closely knit community than for the other case study products.

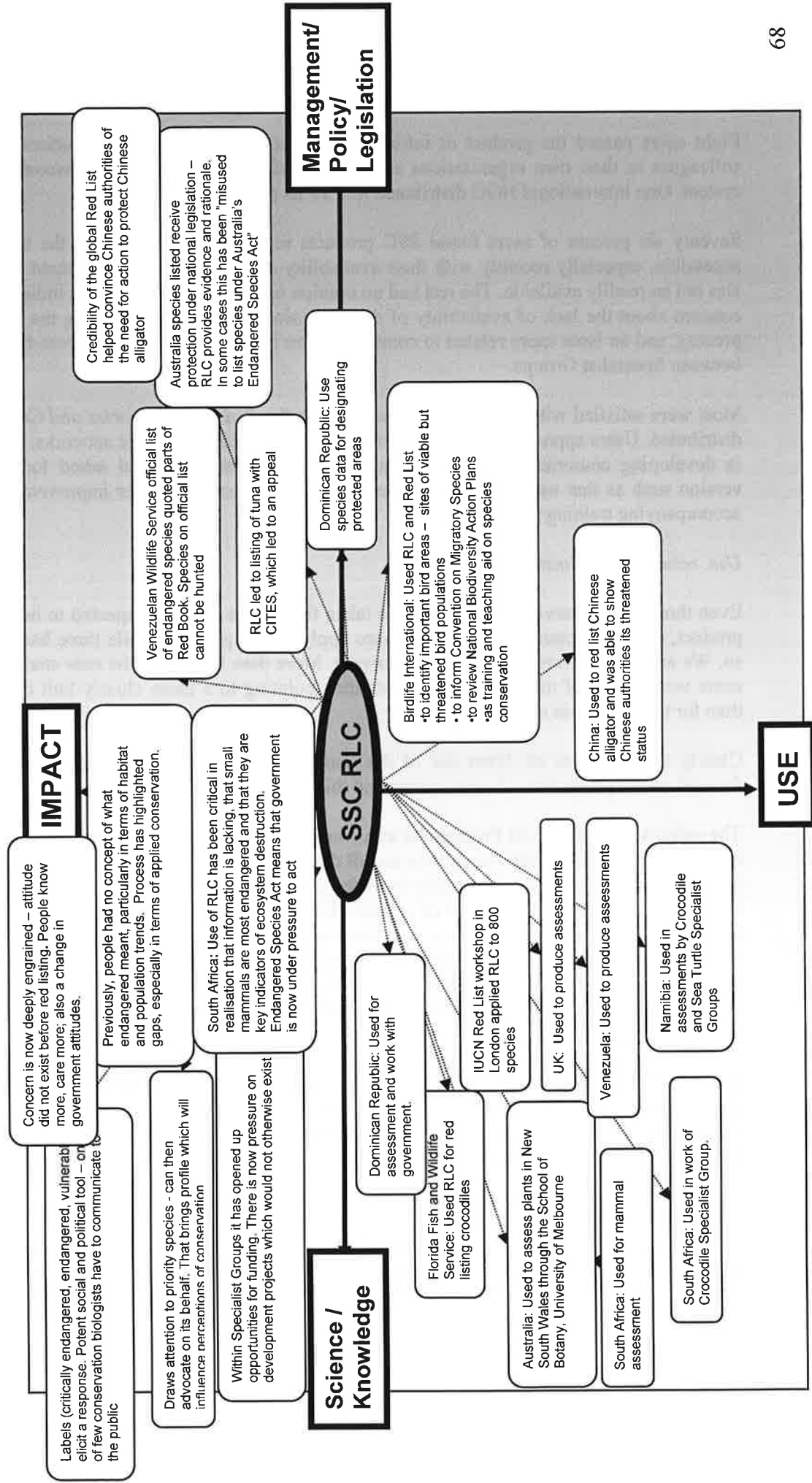
Clearly the examples of direct use of the *Red List Categories and Criteria* would all be focused on the production of assessments and this proved to be the case (Figure 2.7¹⁹).

The outputs of the Red List Programme as a whole could be considered as a more indirect use of the *Categories and Criteria*, as they are all dependent on the application of this product to assess the species that are eventually included in the Red List of Threatened Species. The CBD has recognised the Red List as an important tool for monitoring biodiversity, and it is now also officially recognised as a decision-making tool by the Convention on Migratory Species (CMS) as a result of negotiations at the COP 7 meeting to the CMS in 2002. The results and influence are thus closely tied to the Red List Programme as a whole and emphasises the fact that a specific component of the Programme should in all likelihood not be isolated for tracking.

According to the SSC leadership, the scientific literature shows that an increasing number of publications are focusing on the Red List. They believe that this trend together with the recognition from the major global conventions indicate that the Red List is now regarded as a benchmark in global species assessment.

¹⁹ We have used this method of presentation only as a rough indication of the different types of use and influence of the product found in the different parts of the world. The axes have not been carefully defined and the placement of the statements of use and influence has no particular significance; they are only roughly situated in the correct quadrant without using a well defined scale on the two axes. For a more accurate visual presentation clustering approaches on well defined scales can be used and we provide such examples in the newly developed methodology for tracking knowledge products which is described in a separate document.

Figure 2.7 Use and influence of the SSC product, Red List Criteria and Categories Version 3.1, around the world, based on responses of 12 users (refer also to the footnote in this section under *Use, results and influence*)



A few concrete results were identified even though the number of users input was so small. Among others the credibility of the global Red List helped convince Chinese authorities of the need for action to protect the Chinese alligator. The Venezuelan Wildlife Service's official list of endangered species quoted parts of Red Book, and species on the official list cannot be hunted. In South Africa the establishment of the Endangered Species Act means that government is now under pressure to act.

Significant examples of influence were cited. A caveat is that these examples all come from those involved in the assessments rather than from potential users of the assessments. Some of the main observations are that previously people had no concept of what endangered meant, particularly in terms of habitat and population trends. A change in government attitudes has now been perceived.

Concern is deeply engrained among some decision-makers and the general public, an attitude that did not exist before red listing. People now "know more and care more". The process has also highlighted gaps in applied conservation. In South Africa the use of the Criteria has been critical in the realisation that information is lacking, that small mammals are the most endangered and are key indicators of ecosystem destruction.

Unexpected effects

- An unexpected effect has been the considerable controversy which arose from the application of the product in some cases. Among others the Marine Turtle Specialist Group has had difficulty in applying it to globally distributed species. There have been many challenges to the red listing decisions which have led to unhappiness in some of the Specialist Groups. Within the Crocodile Specialist Group there is now scepticism about the potential of the method to list threatened crocodile species.
- There has been a backlash from some of those who provide data. When a species is on the official endangered species list, it cannot be hunted. This has caused some people to withhold data so that their right to hunt is protected.
- Within the Specialist Groups the red listing activity has opened up opportunities for funding.
- The application of the Categories and Criteria led to the listing of tuna with CITES, which in turn led to an appeal for the decision to be overturned.
- Agencies that use the Categories and Criteria can develop monitoring systems conditioned by them. Often the focus on the Criteria will influence how data are collected.
- The labels ("critically endangered", "endangered", "vulnerable") elicit a response from the public and from decision-makers. The Red List and the process of red listing has thus become a remarkably potent social, political and marketing tool, one of few conservation biologists have to communicate to the public.

Some observations

For those well acquainted with the Red List Programme this case study would not necessarily have brought any new insights. The Programme and the rules on which the red listing is based are widely respected and used worldwide for the assessment of the status of species and the monitoring of biodiversity. No competing system exists at global level. Controversies can be expected in any global system and it is not surprising that there are perceptions of weaknesses in this system, or of an overly protective attitude by the SSC leadership towards its product.

SSC has a credible process in place to deal with appeals and special efforts are occasionally made to address controversial issues.

One of the reasons for the success of the *Red List Categories and Criteria* is the rigorous and lengthy development process during which it was subjected to peer review by hundreds of scientists across the world. The application of its content towards red listing is also subject to an impressive formal process of scrutiny by committees, evaluators and assessors. However, an area of concern expressed by some users and key informants was the fact that the good work in monitoring and assessing species status did not necessarily translate into the required influence on national policies and biodiversity management. SSC can focus its efforts in a more concerted way towards this goal.

On the other hand, during recent years conservation paradigms have shifted towards more integrated approaches that include a focus on ecosystems, poverty and livelihoods and it will be important to position the signature product of IUCN, the Red List Programme, within this changing environment. According to its Strategic Plan 2001-2010, SSC is working on strategies to ensure the relevance of its work in future. The full deployment of the Species Information System (SIS) can be an important step towards enhancing the work done through the Red List Programme and achieving greater impact on the ground.

As in some of the other case studies the number of users who gave inputs into this study was somewhat limited. This means that limited conclusions can be reached about the use and influence of the product on the targeted user groups. This aspect is further discussed in the document on the methodology developed for the tracking of knowledge products which resulted from the lessons learned in this study.

2.5.2 The Case Study: *The Species Information Service*

The Species Information Service (SIS)

The product/service

The effective management of the environment for the global good is greatly dependent on the availability of up authoritative, credible and to date information and knowledge about trends in biodiversity and the state of ecosystems at local, regional and global levels. Current information is more often than not fragmented, incomplete and often contradictory, leading to great difficulties in implementing environmental policies.

In order to fill this gap, the concept of the *Species Information Service* (SIS) has been developed by SSC in conjunction with IUCN as a comprehensive information resource for decision-making that will provide current, high quality and spatially explicit peer reviewed information linking species and their habits with ecosystems. It is to enable the measurement and monitoring of changes in biodiversity over time, with analyses that can be carried out from local to global level. Information will be in a format that decision-makers can use at local, regional and global level.

SIS is an extension of the Red List Programme, which according to one of the key informants “represents the best of IUCN - inclusiveness, authority, scientific rigor, transparency, credibility, objectivity and the involvement of the best scientists in the world.” Where the Red List gives the conclusion of the analysis, *SIS* gives supporting information for this conclusion. The key factor for the success of *SIS* is the vertical integration of a database of information with the well established biodiversity knowledge network made up of SSC Specialist Groups in order to meet critical information needs of the scientific and conservation community, governments, local communities and the private sector. *SIS* will be part of the scientific groups that provide the basic data and who will also have the scientific control to ensure the quality and integrity of the data. Both IUCN and the scientists should regard the data collection as a good value proposition - IUCN wants the information to promote conservation planning, while the scientists need better and more up to date information for their research.

It is envisaged that *SIS* will help to rejuvenate knowledge production in SSC. It will be in a position to produce a range of scientific products, biodiversity assessment products and environment assessment products that in the long run should transform the way in which business and governments make decisions – and it will improve the quality and effectiveness of those decisions. Baseline species data sets will underpin the biodiversity information and analyses. They will be made publicly available in formats and scales that will allow users to perform analyses in support of their own objectives. *SIS* can therefore be regarded as both a product and a service.

According to the SSC leadership, *SIS* is central to their 2001-2010 Strategic Plan. It is to be the highest strategic priority for SSC during this period.

An important footnote is that *SIS* is still in a pilot phase, with the first two assessments just completed. It was therefore too early to track its use and influence, other than to test the experience of and use among those who had participated in the Global Amphibian Assessment (GAA).

SIS will in essence be a knowledge product as well as a service when it is fully operational.

The development process

SIS has not yet been completed and funding still needs to be obtained to scale it up to the required level to fulfil its vision. *SIS* was initially conceptualised in the early 1990s as a data management tool to improve knowledge management in IUCN and standardise certain procedures. In the meantime, over a period of eight years, the concept has evolved, the scientific framework has been generated and internationally accepted, the network nurtured and the concept tested. Four species assessments have been, or are being implemented, a *SIS* Data Entry Module (DEM) has been designed, tested and released for use by over 40 specialist groups, a prototype Web based *SIS* system has been designed and demonstrated, and links between this system and several GIS systems have been established. A partnership has also been formed between Oracle Corporation and the Red List Consortium consisting of IUCN/SSC, NatureServe, Conservation International and Birdlife International.

The recently completed Global Amphibian Assessment served as pilot project. It was led by a staff complement of three who worked with 400 scientists from 34 regions across the world to produce the results in a first attempt to assess amphibian species. The process was somewhat different from that for the Red List. Workshops were held in countries in order to build local capacity and get key experts involved who could apply the method in the field.

The profile of the “users”²⁰

This case study is based on a document review as well as on the inputs of ten users and nine key informants. Eight users were very familiar with *SIS*. The other two felt that they were fairly familiar with it. Table 2.13 provides a breakdown of the users who gave input into this case study.

As in the case of the *Red List Categories and Criteria*, we did not conduct a survey for this product. More inputs would have yielded richer and more credible data. In view of the limited time at our disposal we had to limit the number of surveys. As we were told by several of the key informants that SSC members were “tired of surveys as too many have been conducted recently”, we decided not to pursue further data collection among Commission members.

The candidates for interviews were selected from a list of known users – those who had participated in the Global Amphibian Assessment. As in the case of the other products, in view of time constraints for the data collection it was not possible to ensure balanced regional representation, as we had to work with those who responded first to our request for interviews.

Table 2.13 SSC Species Information Service user inputs by Commission membership, statutory region and type of institution

Commission Affiliation	Number of users	% of users	
Commission members	5	50	
Not Commission members	5	50	
IUCN staff	0	0	
<i>Total</i>	<i>10</i>	<i>100</i>	
Statutory Regions	Number of users	% of users *	
Meso and South America	3	30	
North America and the Caribbean	1	10	
South East Asia	1	10	
East Europe, North and Central Asia	1	10	
Western Europe	4	40	
Unknown	0	0	
<i>Total</i>	<i>10</i>	<i>100</i>	<i>100</i>
Type of Institution	Number of users	% of users	
Academic institutions	4	40	
Professional Societies	1	10	
NGOs	1	10	
EU, UN agencies	1	10	
Government organisations and agencies (including national parks)	1	10	
Unknown	2	20	
<i>Total</i>	<i>12</i>	<i>100</i>	

Timing

All the users who were interviewed confirmed that *SIS* was implemented at an appropriate time to address the need at which it was aimed. Of all case studies this was by far the highest number of users responding so positively to this question. Amphibian assessments had not been ongoing to any great extent and most of the users started with the assessment when they received the module.

²⁰ Note that as stated in section 1.4.2, we employ the term “users” to include *potential* users of the product or service, not only those who have actually used these products or services.

The quality and cutting edge nature of the product/service

Nine out of the ten users felt that *SIS* was user-friendly. In spite of this, several improvements were suggested – although this might already have been done in the meantime as *SIS* is continuously evolving. Aspects raised by users are the referencing system that was, or still is, “time-consuming and redundant, with habitat codes not applicable”; the use of Microsoft Access for the database; and the need to use a GPS/GIS interface of a combination of polygon maps and exact locations; increasing the potential species range in the geography module.

All users felt that *SIS* would provide a credible and reliable source of information – again the highest percentage of all case studies. A large variety of reasons were given, the most prominent of which seemed to refer to the fact that it would provide up-to-date information in a standardised manner between scientists from all over the world.

According to users the main contribution of *SIS* is that it repackages existing material to provide new insights, to be used by conservation practice in new ways including translating it into policy and conservation actions. It is seen as a very good instrument through which to manage species in biodiversity hotspots. Information which has never been recorded will be added for the benefit of the scientists and of IUCN. Key informants felt that it would be very strong analytical tool when completed and populated. The *SIS* workshop process has also added value by building the capacity of those working on the GAA.

Seven of users felt that *SIS* was a cutting edge product/service, while two felt that it was not so. Reasons for not regarding it as cutting edge were that it was an essential product but “not rocket science”; that the data on amphibians were not very good and hence the end result of the GAA would be questionable; and that there were several competing products (such as the database of NatureServe). The technical quality of the database programming was also found wanting during the initial phases of its development.

The user responses to this question should be considered with caution. According to its developers the cutting edge nature of *SIS* lies in its model of integrating a vertical information system with the large and highly credible SSC knowledge network. It is unlikely that the users would have considered this more holistic view in their responses.

Quality assurance

Effective quality assurance is critical to the successful implementation of *SIS*. Without trust in the integrity of the data the system will not be used either by scientists or by decision-makers. Efforts are under way to establish a quality assurance system closely linked to that of the Red List Programme, which serves as a benchmark for this purpose. The two processes could even be integrated where possible.

The first line of quality assurance will be in the hands of the Specialist Group Chair who will be responsible for designing and managing a peer review system for the *SIS* work of that Specialist Group. An *SIS* officer similar to that for the Red List will check the data to determine whether acceptable processes have been followed before launching an own peer review process. Scrutiny by a committee of eminent scientists will be a further step in the process. An appeals process similar to that of the Red List will also be set up for controversial cases.

Although the full quality assurance system was not operational yet, quality assurance was done for the GAA. The data from the 34 regions were consolidated down to 15 and review processes launched to check the accuracy of the data.

Targeting

The users eventually targeted for the use of SIS will be the SSC Specialist Groups, the international development institutions and international financing institutions such as the World Bank and Regional Development Banks, governments, private sector companies and community development groups.

However, in the early stages of its use the targeted audience has been the scientists involved in using SIS for the Global Amphibian Assessment (GAA) and the Global Mammal Assessment (GMA).

The *SIS* target groups were well conceptualised. Users' opinion about the potential target groups was in line with that of the *SIS* designers – scientists who add data to the system, and those who use the synthesised information for management and policy making purposes. Data will generally be provided for free. Should specific analyses be needed by external organisations or the private sector, this service could be provided for a fee, although this idea is frowned upon by some who believe that IUCN should make all information available for free. The final approach to this type of service is still to be determined.

Dissemination and accessibility

The Data Entry Module was made available to the hundreds of scientists who were to participate in the GAA. This was accompanied by training in the regions to familiarise them with the concept and operations of *SIS*.

As could be expected, all users who responded preferred to have the information made available on-line.

Use, results and influence

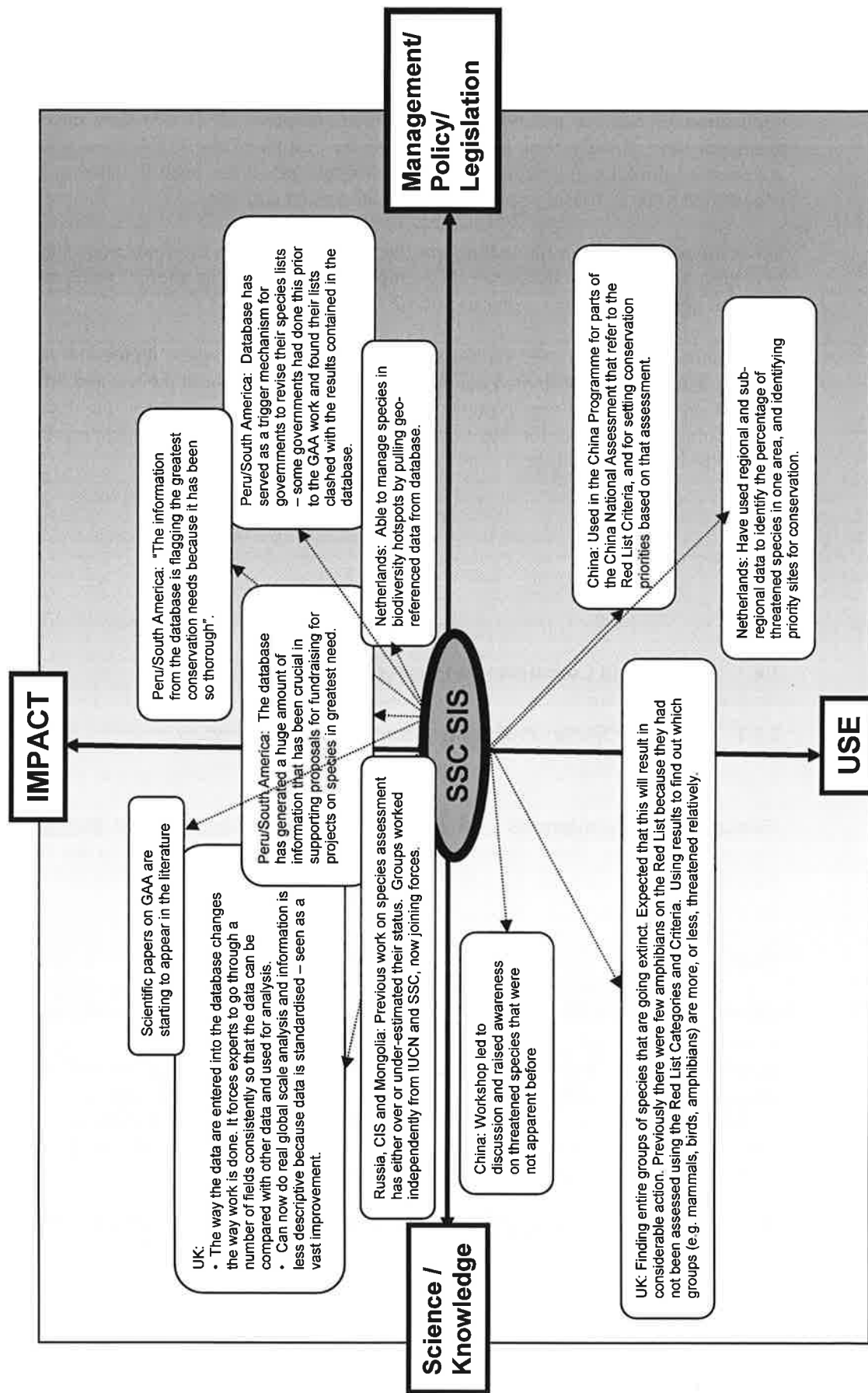
It would be unfair to expect significant use of *SIS* at this very early stage where the first pilot project has just been completed. In spite of this, the few users who had an opportunity to give input into this case study could already point to examples of use and results obtained from the work of the GAA (Figure 2.8²¹). Scientific papers are beginning to appear and in several countries such as China, the UK and the Netherlands the improved and new data from the assessment have been used to raise awareness of conservation issues that were not apparent before. In South America, Russia and Mongolia among others, previous work on species assessments had been inaccurate. New scientific alliances with IUCN and SSC have also been formed in the countries in North and Central Asia.

Unexpected effects

In South America the database has served as a trigger mechanism for governments to revise their species lists. Some governments had done species lists prior to the GAA work and have now found that their lists clashed with the results contained in the database.

²¹ We have used this method of presentation only as a rough indication of the different types of use and influence of the product found in the different parts of the world. The axes have not been carefully defined and the placement of the statements of use and influence has no particular significance; they are only roughly situated in the correct quadrant without using a well defined scale on the two axes. For a more accurate visual presentation clustering approaches on well defined scales can be used and we provide such examples in the newly developed methodology for tracking knowledge products which is described in a separate document.

Figure 2.8 Use and influence of the SSC product/service, the *Species Information Service*, around the world, based on responses of 10 users (refer also to the footnote in this section under *Use, results and influence*)



Some observations

This study was conducted too early to determine the potential of tracking its use as a knowledge product/service in IUCN. In spite of this we have found that the scientists interviewed were very supportive of the idea and enthusiastic about its performance. The fact that a closely knit and functional network for data input already exists is a great strength of *SIS* which provides it with an excellent comparative advantage. On the other hand these scientists are generally not the people in decision-making positions that will ensure the wide application of *SIS* for policy and management purposes. It is therefore encouraging that examples have already been reported where the results of the GAA have started to affect government thinking and decision-making. A major effort has been initiated to ensure that it is designed to be as useful as possible to this important audience.

SIS is an example of a value-adding product which builds on the foundation laid by the Red List Programme. Users also support its emphasis on training as another value adding service that will help to ensure the wider use of *SIS* over time.

As in some of the other case studies the number of users who gave inputs into this study was limited. This means that limited conclusions can be reached about the use and influence of the product on the targeted user groups. This aspect is further discussed in the document on the methodology developed for the tracking of knowledge products which resulted from the lessons learned in this study.

2.6 The World Commission on Protected Areas (WCPA)

2.6.1 The Case Study: *Evaluating Management Effectiveness*

Evaluating Effectiveness – A Framework for Assessing the Management of Protected Areas. Best Practice Protected Area Guidelines Series No 6. Marc Hockings, with Sue Stolton and Nigel Dudley; Series Editor: Adrian Phillips

The context

WCPA aims to provide strategic advice to policy makers and strengthen the capacities of its constituency through the provision of guidance, tools and information. During this Intersessional Period there was a particular emphasis on knowledge production focusing on integrating human wellbeing and social equity with biodiversity conservation. The drive to connect protected areas to social and economic concerns started in earnest in 1999 with the formation of the Task Force on Local Communities in Protected Areas (TFLCEPA), now known as the joint WCPA/CEESP TILCEPA initiative.

The result of this collaboration is visible in the outputs of both CEESP and WCPA. The 18 WCPA products used for the analysis of the 109 Commission knowledge products reflect the Commission's objectives mentioned above as well as the strong focus on the relationship

between people and protected areas (Table 2.14; for a list of the products analysed refer to Annex 6).

Innovations during the current Intersessional period include PALNet, the interactive, Web-based management tool for protected areas that facilitates exchange and the sharing of experience among policy makers, managers and other stakeholders, and “Managing Protected Areas in the 21st Century”, a comprehensive protected areas user manual which will be based on the collective outputs of the World Parks Congress. These outputs reflect the involvement of many components of the IUCN and highlight the integrative role that events play in stimulating collaboration between Commissions, or between a Commission and IUCN component programmes.

Table 2.14: Profile of the main potential contribution of 18 WCPA knowledge products to the expected results of the 2005-2008 Intersessional Programme

Result	n	%*	Description of Result
3.3K	5	28	Improved approaches to integrate environmental and economic values in decision making, including methods for mobilizing new and additional finance for biodiversity conservation
4.1K	5	28	Improved understanding of how international arrangements can support more efficient, effective and equitable biodiversity conservation
4.4G	6	33	Improved relevance and effectiveness of international environmental arrangements
4.5G	6	33	Other international arrangements are supportive of biodiversity conservation
5.1K	13	72	Improved understanding of how social, economic and environmental objectives can be reconciled in the management and restoration of ecosystems.
5.4G	8	44	National and sub-national policies, laws and institutional arrangements better integrate human wellbeing with biodiversity conservation.
5.5G	5	28	Governance structures take into account the rights, responsibilities and interests of stakeholders and allow for their equitable participation in decision making regarding biodiversity conservation and human development.
WCPA products also contribute to a smaller extent to Results 2.1K, 3.1K, 3.2K, 5.2K and 5.3E			

* Note that a knowledge product can contribute to more than one Result.

Other products and services include the PARKS Magazine, evaluation services in collaboration with the World Heritage Convention and several policy related inputs. Since 2001 three more publications have been produced in the World Best Practice Guideline series and two are currently in preparation. The WCPA case study product is the result of the Commission’s emphasis on providing guidance on management effectiveness to protected areas managers, initially through a task force and during the past few years through the work of the WCPA Thematic Programme on Management Effectiveness of Protected Areas.

The product

Evaluating Effectiveness is number six in the flagship Best Practice Protected Area Guidelines Series of WCPA. Published in 2000, it provides a framework for monitoring and evaluating the effectiveness of protected areas and suggests tools which can be used as the basis for developing an assessment methodology. The framework is intended for adaptation to a wide range of circumstances in both wealthy and poor countries. The theoretical and methodological aspects of the framework are described as well as six case studies that demonstrate the practical application of a range of evaluative approaches in the management of protected areas in Australia, the Congo Basin, and Central and South America.

Evaluating Effectiveness met several of the selection criteria used in selecting the case studies. One of the main reasons for its choice was that it was published at the end of 2000 - at the

beginning of the current Intersessional Period, which means that its use and influence would have become visible over these past three years.

The reasons for creating the product

The publication grew out of a need identified during the early 1990s at several protected areas forums around the world. At the time there were increasing demands on protected areas managers to report on effectiveness. At the World Parks Congress in Caracas in 1992 calls were made for a method for determining management effectiveness that could be applied globally. During the next few years these calls continued with increasing urgency. Various groupings and major organisations such as the World Bank added their voices to the demand for appropriate frameworks and tools. This was supported by a survey conducted in Cambridge, which confirmed that there was a shortage of information on management effectiveness in protected areas.

The growing demand convinced WCPA of the need for an intervention by the Commission in this area, though action only took place after a member of WCPA offered to lead the work on behalf of the Commission.

The development process

As a result, WCPA was able to set up a Management Effectiveness Task Force with 28 members from 17 countries to look into the relevant issues and to prepare strategies to address them. The Best Practice Guideline Series was focused on addressing in a consistent way key problems experienced in protected areas across the world. It was therefore an ideal vehicle for work in the area. Dr Hockings had been involved in initial work on management effectiveness in the area in 1997. His contribution formed the basis for the development of the framework over the next three years, enriched by the inputs from many specialists around the world.

A series of experts' workshops were held in different parts of the world in association with the IUCN/WWF Forest Innovations project, WWF Netherlands, WWF Forests for Life Campaign, the WWF/World Bank Alliance and the World Heritage Convention. Pilot studies were conducted by the Task Force and other partners. The framework was developed through an iterative process of development, comment and refinement involving hundreds of people with diverse experiences and backgrounds from across the world.

The profile of the "users"²²

This case study is based on a document review and on the inputs of 75 users as well as six key informants or initiators and producers of the product. Of those who provided their inputs, 44% were very familiar with the product and 31% fairly familiar. Twelve percent were somewhat familiar with the product, while 13% confessed to not knowing it at all. They either refrained from responding to questions or gave their opinion based on what they had heard from others.

Commission members were the primary target audience for the guidelines. Users for interviews were therefore selected from the WCPA membership list, selected to represent all regions and both government and non-governmental organisations. These names were supplemented by a short list of users recommended by key informants. The survey questionnaire was sent randomly to half of all Commission members on the membership list.

Table 2.15 provides a breakdown of the user profile for interviewees and survey respondents. In line with expectations, eighty eight percent of those interviewed or surveyed were

²² Note that as stated in section 1.4.2, we employ the term "users" to include *potential* users of the product or service, not only those who have actually used these products or services.

Commission members. The regional distribution of users was very much in line with the Commission membership per region, with some under representation from Meso and South America and South East Asia, and a somewhat larger number from Western Europe. Nearly 40% of the users came from government departments, services or agencies, including national parks.

Table 2.15 WCPA *Evaluating Effectiveness* user inputs by Commission membership, statutory region and type of institution

Commission Affiliation	Number of users	% of users	
Commission members	66	88	
Not Commission members	8	11	
IUCN staff	1	1	
<i>Total</i>	<i>75</i>	<i>100</i>	
Statutory Regions	Number of users	% of users	% WCPA members*
Africa	10	13	12
Meso and South America	4	5	11
North America and the Caribbean	15	20	23
South East Asia	7	9	16
West Asia	0	0	2
Oceania	11	15	14
East Europe, North and Central Asia	3	4	6
Western Europe	18	24	16
Unknown	7	9	0
<i>Total</i>	<i>75</i>	<i>100</i>	<i>100</i>
Type of Institutions	Number of users	% of users	
Academic institutions	9	12	
Private sector/Consultants	10	13	
Specialised media	0	0	
NGOs	7	9	
International NGOs	3	4	
IUCN	2	3	
Government organisations and agencies (including national parks)	27	36	
EU, UN agencies	2	3	
Professional association	2	3	
Donor	1	1	
Unknown	12	16	
<i>Total</i>	<i>75</i>	<i>100</i>	

*Percentage of Commission members in that region

Timing

A total of 75% of users felt that the timing of the release of *Evaluating Effectiveness* was appropriate for the need that it had to address. Although several years had elapsed between the identification of the need and the finalisation of the guidelines, it was released within the window of opportunity created by the absence of a similar product in the market.

Three percent felt that it was released too early, while another three percent felt that it was ahead of its time. Twenty percent of users did not know or did not have an opinion on the matter.

The quality and cutting edge nature of the product

Users agreed that the publication was informative, concise, easy to read with concrete examples, and not overly prescriptive. Seventy nine percent of users felt that it was in the

right form and style to reach its audience. Only 1% disagreed. Twenty percent did not express an opinion.

Eighty five percent of users believed that the publication was a credible and reliable source of information. No-one disagreed, while the rest had no opinion or did not know the answer. The majority ascribed its credibility and reliability to the extensive iterative development process involving many experts over time, the excellent reputation of the authors and editor, and the credibility of the IUCN.

Users also felt that the value added by *Evaluating Effectiveness* to its field was multi-dimensional, in almost equal measure establishing new tools and methods, integrating existing knowledge to provide new insights, generating new knowledge that advances the field and developing essential capacity. Sixty eight percent regarded it as a product at the cutting edge of the field of protected areas management. Users ascribed its cutting edge nature to the fact that it filled a very specific niche as the first global framework to evaluate the effectiveness of protected areas, very successfully bridging the gap between theory and practice.

Only 9% of informants believed it not to be a cutting edge contribution, as it repackaged existing material for practical application rather than creating new knowledge or proposing new approaches. Their reason brings to the fore users' diverse perspectives of the meaning of a "cutting edge product". Twenty three percent chose not to respond to this question.

Quality assurance

The lengthy iterative development process provided an excellent quality control mechanism. A large number of experts in various fields from different parts of the world, and in particular the Management Effectiveness Task Force, provided input on content and quality throughout the three year refinement of the product. In essence they acted as peer reviewers, bringing many different experiences and viewpoints to bear on each step of its development. The process made maximum use of one of the key advantages of an expert knowledge network – the ability to bring together a wide variety of expertise around a common purpose.

The Guideline Series has a further quality assurance element through the dedicated work of its editor in ensuring high quality publications.

Targeting

The primary target audience for *Evaluating Effectiveness* was determined right from the start as protected areas managers and management agencies - in essence the constituency of WCPA. When WWF joined forces with IUCN in this initiative the potential audience was broadened to include NGOs and donors as secondary target audience.

According to the users the audiences targeted by WCPA for the publication were appropriate and their assessment of who the audience for the publication should be coincides almost exactly with the main target audiences identified by the initiators and developers of the product.

Dissemination and accessibility

The publication was distributed in hard copy to all Commission members, to the Protected Areas Leadership Forum and to certain protected areas agencies which were not Commission members. It was also made available on the Commission's Website. All IUCN regional and

country offices received 10-15 copies each for distribution in the region. Around 800-1000 copies were distributed at key meetings and events.

Fifty seven percent of users had passed on the product, or information about it, to others, while 23% did not. The multiplier effect of this distribution mechanism would have had an important effect on the product's visibility, enabling it to reach audiences that IUCN normally would not have been able to reach.

Informants appreciated the availability of the publication on the website, but accessibility for those in countries with scarce access to the Internet remains a problem. Almost all informants preferred a combination of hard copies and website versions of the publication. Only 19% indicated a preference for a CD ROM version. A summary format (similar to that supplied at the recent WPC) for mass distribution either by mail or email should be used for wider distribution. PALNet will also carry the publication as a new mechanism to get material to WCPA audiences.

The Commission has no system in place to determine if the target audiences have been reached, although the number of Website downloads is being monitored. Several translations exist, but the lack of its availability in more languages is recognised by the staff of IUCN and the series editor as a stumbling block to its wider use.

Users generally find WCPA products readily accessible. Sixty nine percent felt that WCPA products were easily accessible (the highest percentage for all Commissions), 23% most of the time and, surprisingly, 8% not at all.

Use, results and influence

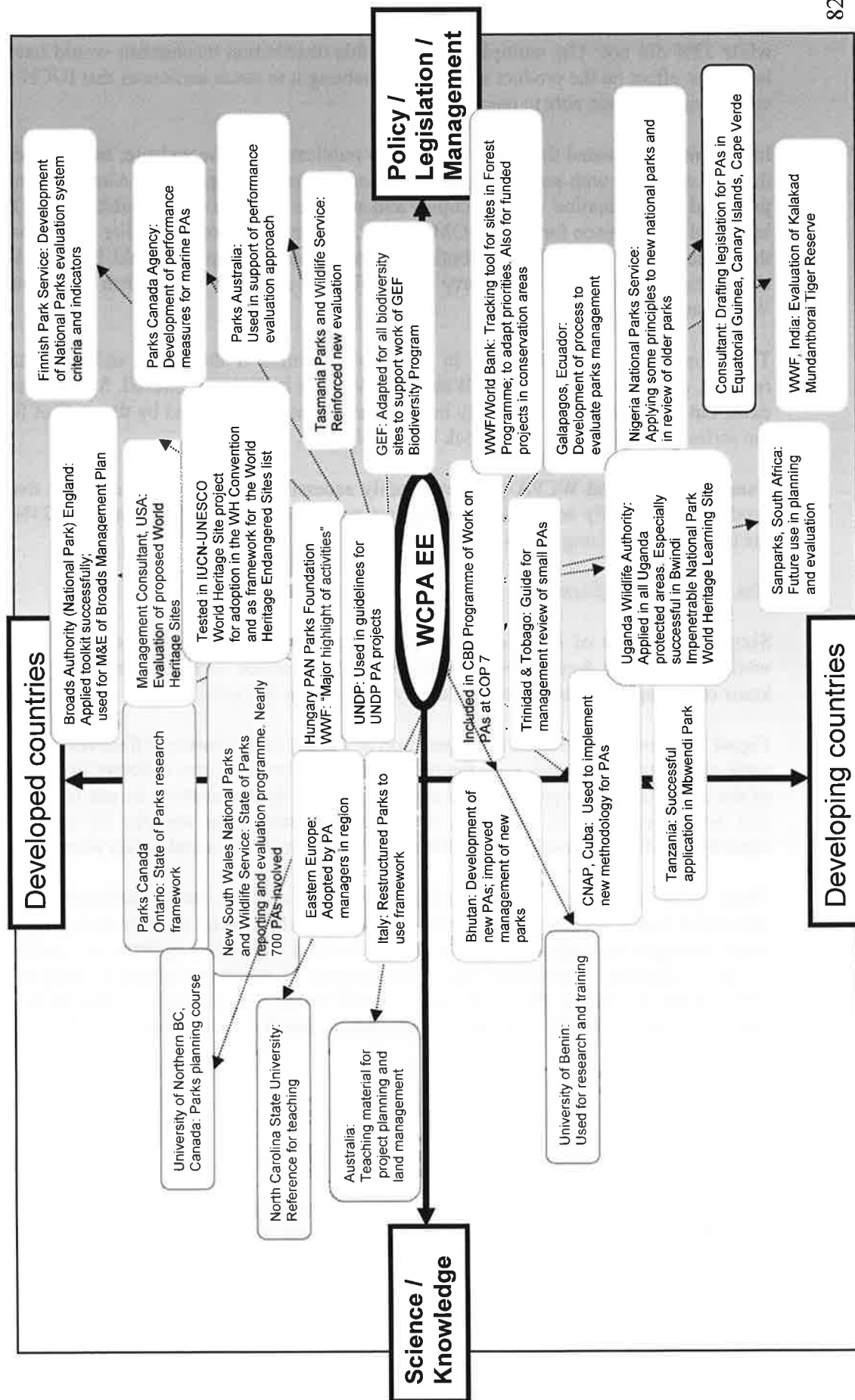
Sixty four percent of interview informants and survey respondents had used the product, while 20% had not done so. Sixteen percent had no opinion on the matter. Furthermore, 39% knew of examples of use of the product by others; 43% did not.

Figure 2.9 provides a graphic representation of the use of *Evaluating Effectiveness* in different parts of the world²³. In this case the presentation is also in a form different to those for most of the other case study products and services, using it to demonstrate its use in the developed and developing areas of the world as it relates to knowledge transfer for information and capacity building purposes only, or for management, legislation and policy purposes.

There is no doubt that the guidelines have reached their target audiences both in the developed and in developing countries. As expected it has been used by mainly by protected areas managers and agencies for the development of evaluation systems and guidelines and for the evaluation of protected areas management, in developed countries such as the UK, USA, Finland, Canada, Italy and Hungary, and in the developing countries as far afield as India, Bhutan, Tanzania, Nigeria, Uganda, Benin, South Africa, Ecuador, Cuba and Trinidad and Tobago.

²³ We have used this method of presentation only as a rough indication of the different types of use and influence of the product found in the different parts of the world. The axes have not been carefully defined and the placement of the statements of use and influence has no particular significance; they are only roughly situated in the correct quadrant without using a well defined scale on the two axes. For a more accurate visual presentation clustering approaches on well defined scales can be used and we provide such examples in the newly developed methodology for tracking knowledge products which is described in a separate document.

Figure 2.9 Use of the WCPA product, *Evaluating Effectiveness*, across the World, based on the response of 75 users (refer also to the footnote in this section under *Use, results and influence*)



Donors are using *Evaluating Effectiveness* in major initiatives such as the GEF Biodiversity Programme, the WWF/World Bank Forest Programme and the UNDP Protected Areas projects. It is also starting to impact on national legislation. At least one example was given where legislation for protected areas was being drafted using the Guidelines for Equatorial Guinea, Canary Islands and Cape Verde. The new Guidelines for Development approved by the parliament of the Canary Islands incorporated a mandate to evaluate protected area management.

Concrete results and influence have been perceived following the use of the product (Box 2.3). Forty nine percent of users said that the product had led to concrete results or had had an influence on them, their organisation or another initiative. Thirty three percent were not aware of such effects. The rest did not comment. The guidelines have changed the attitudes of authorities and managers towards the evaluation of management effectiveness of protected areas. They created a greater awareness among managers of the need and guidelines for evaluating management effectiveness and a better understanding of the value and principles of this approach. They have stimulated the interest of authorities and managers in monitoring and evaluation and provided more structured approaches to planning. Many users believe that it was almost entirely due to the development and release of the framework that the evaluation of management effectiveness has become widely known and practiced. They noted that this was a major theme for discussion at the World Parks Congress in Durban. A decade ago it was hardly an issue on the agenda.

Again this is well in line with, and has even exceeded, the expectations of the initiators and developers of the product.

Slightly more than three years have elapsed since the publication of *Evaluating Effectiveness*. Its uptake at national management level has been remarkably fast. This could be due to at least three reasons: (i) the lengthy development process during which potential users could “buy into” the results; (ii) the definite and widespread need that it fulfilled; and (iii) the strategic position of many WCPA members as senior protected areas managers who could ensure fast implementation at national or organisational level. The latter is a particular strength of WCPA that can accelerate the uptake of the Commission’s work and knowledge products in systems across the world.

There is not enough information available to get a clear understanding of the extent to which the product is of use to, or used by, the IUCN Secretariat. According to some of the key informants there was little connection with the regional offices, a weakness as they could have assisted with raising the awareness around the product. This situation has subsequently improved, for example in the World Heritage Site project the regional offices were used as coordinators (ORMA, EARO). ORMA and SUR also worked to get GEF to expand its work in some World Heritage Sites to other sites in the region. Funding was obtained from the US government to bring government representatives together to consider the feasibility of the proposed intervention.

Unexpected effects

- Academic institutions were never a target audience for the product, yet it has been used for teaching and research in Canada, the USA, Australia and Benin.

According to the Parks and Wildlife Service of Tasmania, the publication of their case study in the publication raised the status and profile of their evaluation programme and provided international endorsement and encouragement for its continuation and further development. This in turn reinforced recognition within their agency of the importance of the evaluation programme. This profile assisted the programme to continue through periods of potentially destabilising change.

- According to a UNDP representative, it enhanced the credibility of Protected Areas by making their management seem more “objective”.
- At ten World Heritage sites the site teams experienced enhanced communication with role players as they work together – something which they did not predict or expect during the design of the intervention.

Some observations

In many ways knowledge production in WCPA can serve as a model of good practice. Maximising the leverage and influence of products produced through the volunteer work of the Commission is one of the stated interests of WCPA. It seeks innovations and reviews and updates successful products. It has clearly articulated foci on creating practical knowledge for its constituency and on using its tacit and explicit knowledge to influence policy makers, as confirmed by its recent success at the CBD COP 7 meeting. The flagship products of WCPA, the Guideline series and PALNet, are both identified as priority targets in its strategic plans. It has systematic quality assurance processes for its Guideline series, using for the production of each volume a task group with as far as possible geographic representation, iterative processes of peer review with large groups of experts, and rigorous editing.

This systematic and purposeful approach to knowledge production and delivery has been reflected in the development of *Evaluating Effectiveness*. It was based on a very well identified need by large constituencies and influential forums. It drew hundreds of people into an iterative development process. Although its development took a long time, it was still unique and addressing an important need when it was published. It is thus widely regarded as an undisputed cutting edge contribution to its field. Its format was user-friendly and suitable for its well-targeted audiences, while the excellent reputation of the authors and editor added to its credibility.

The case study results show that the use and influence of *Evaluating Effectiveness* have been significant and in line with expectations. There is no doubt that it has contributed and will still contribute to the changes that IUCN wants to bring about in the world in terms of building capacity and improving conservation governance.

WCPA have plans to revise and update *Evaluating Effectiveness*. Users are keen to have regional training modules developed to promote the uptake of the guidelines in different regions. They also suggest that lessons should be identified and shared; a focus on cultural resource issues included; and a Web page established with more information, highlighting new experiences, and with downloadable text and training materials.

Box 2.2 Selected results and influence of the use of *Evaluating Effectiveness*

- Direct reference is made to the guidelines in the CBD Programme of Work on Protected Areas. This commits the 188 Parties to the Convention to action on Protected Areas, including a target of adopting and implementing by 2010, management effectiveness evaluation, monitoring and reporting. The CBD also calls for Parties to implement management effectiveness evaluations of at least 30 percent of each Party’s Protected Areas by 2010 and of national protected area systems and, as appropriate, ecological networks.
- It provided a new focus in the Heritage Convention on strengthening management effectiveness.
- The new Guidelines for Development approved by the Parliament of the Canary Islands incorporated a mandate to evaluate protected areas management.
- Management plans for Protected Areas in South Africa pay more attention to management effectiveness than before.

Box 2.2 Selected results and influence of the use of *Evaluating Effectiveness* (cont.)

- It (i) identified gaps in management and (ii) solicited useful feedback from local community stakeholders when applied to part of the Broads. This will feed into the next management plan for this site. Its incorporation into the new Broads management Plan has led to the establishment of a Monitoring panel comprising a range of stakeholders to evaluate implementation.
- The national system-wide evaluation of management effectiveness in Finnish Parks was planned on the basis of the product and its updated extensions.
- Changes were made in policies and management implementation techniques under the National Parks and Wildlife Service in Australia.
- “The topic (fostered in part by the product) of protected area effectiveness is of increasingly relevance internationally, as evidenced by the attention given to it during the recent World Parks Congress in South Africa.”
- According to a UNDP representative there is an improved ability in the organisation to articulate the “quality” of protected areas management.
- The framework provided an intuitive method for tying together a number of ways of thinking (e.g. adaptive management, evaluation, planning, indicators, etc.). It re-affirmed the need to engage our organisation more actively in this area in order to ensure effectiveness, transparency and accountability for our efforts and investments” (*Ontario Parks, Canada*).
- It emphasised the importance of evaluating elements of management effectiveness other than just ‘Results’ (*Galapagos National Park, Ecuador*).
- “The entire Uganda Wildlife Authority is orientated towards improving monitoring and evaluation as a result of the product” (*Private consultant, South Africa*).
- Protected area managers are increasingly interested in measuring the success, or otherwise, of their management (*New South Wales National Parks & Wildlife Service Australia*).
- “It improved my understanding of the value and principles of adopting a systematic approach to evaluating protected areas. I intend to utilise this product in my future research related to visitor use management in protected areas.” (*North Carolina State University*).
- “At the World Parks Congress this document formed the basis of sessions dealing with the topic of protected area assessment, and I believe it made people aware of the need for assessment and one way in which this can be done inexpensively.
- It has promoted the idea of the need to conduct internal and external evaluations and to accept the fact that management effectiveness can and should be measured. (*Metsähallitus, the Finnish Park Service Finland*).
- It brought about changes in policies and management implementation techniques as well as changes in attitudes to several major management issues – recreation, tourism, and fire management (*National Parks and Wildlife Service Australia*).
- “As Park Administrator, I am now more proactive and willing not only to listen but also to try out suggestions from stakeholders and communities than before. My organisation and I are becoming more convinced that our success can only come from cooperation and periodic evaluation of all parameters involved in Park protection and management.” (*National Park Service Nigeria*).

3 Findings

3.1 The Drivers of Knowledge Production

Our current understanding of knowledge networks indicate that *in principle* Commissions are very well positioned to meet some of the key knowledge management challenges with which organisations grapple around the world. They can create new knowledge from the tacit and explicit knowledge and experiences of their global networks, using the creative tension that arises when people from different organisational cultures are brought together to perform a common task. They are able to mobilise powerful research capacities. They have the capacity to synthesise across disciplines, geographical borders and institutional, political and cultural contexts, and they are well positioned to broker knowledge flows across their networks and across IUCN as a whole.

What, or who, is driving the production of the knowledge products and services?

These are elements of the overall comparative advantage of the Commissions as knowledge networks, but each Commission also has its own comparative advantage linked to its type of membership, its processes and areas of operation. But key questions remain: How well does each Commission make use of its own comparative advantage to ensure that those products and services are developed that have the best potential to contribute to the desired changes that IUCN is pursuing? How responsive are Commissions to needs in their field and indeed, how do they ensure that they have a good assessment of the field? What drives decisions about what product to produce or which service to implement?

All but one case study product and service were the result of a widely acknowledged need in a particular region or in the world. The case studies showed that the decision to produce a certain knowledge product or service is driven by a number of factors (Table 3.1). The most important is the Commission's own judgment of what is needed, as defined by their members and in particular by the Steering Committees. Influential global events and forums including IUCN Congresses provide major opportunities to identify needs and priorities in a particular field. The availability of resources provides an important additional incentive but unlike in the IUCN Programme activities, is not the major driver of knowledge production in the Commissions. One of the ongoing challenges is to match the needs for certain products and services with the expertise and availability of volunteers to address them.

Table 3.1 Drivers for the production of the case study products and services

Reasons given for initiating the product or service development	Percentage of products/services
i. The identification of demands and gaps in the field based on Commission members' knowledge of trends and developments	70
ii. Needs or requirements following from resolutions at global Conventions especially the CBD	40
iii. Needs or requirements following from resolutions at IUCN Congresses	40
iv. The availability of Commission members with an interest in pursuing the work	40
v. Work plan priorities	20
vi. Some form of systematic situation analysis	20
vii. The need for information by the IUCN Secretariat and Members	10
viii. Availability of resources	10

The factors in Table 3.1 imply that Commission leaders and members must have access to the most influential forums at policy and practice level in the fields served by the Commission. The Commission leadership has to prevent partisan interests or the interests of a small group from determining priorities. They must be able to select the most appropriate products and services from a variety of possibilities especially where the work of a Commission is broadly defined, as those products and services need to be developed that can contribute the most to the desired outcomes in line with their comparative advantage in the field. It is therefore of concern that only 20% of Commission outputs are based on some form of systematic situation analysis.

We propose that for the next Intersessional Period more purposeful analysis of trends, needs and emerging issues should be implemented. Commission strategic plans and work plans should pay greater attention to the whole planning cycle for products and services and to establishing priorities for them.

3.2 Timing

The potentially slow nature of volunteer work can affect the capacity of Commissions to respond to windows of opportunity for products or services so that their relevance and impact can be lost. The review found that in general the production of the case study products and services was timely to address the needs for which they were developed and to have the desired impact.

Are the products and services produced in a timely manner to have relevance and impact?

Only in the case of SSC *Red List Categories and Criteria* did a significant percentage (33%) of the small sample of users surveyed feel that it was too late since they had already started their assessment work by the time it was released, but it is unlikely that this would have diminished the eventual impact of the product. Twelve percent of CEL *Flow* users felt that the book was published too late to make a real impact, although the reasons for their opinion are unclear. In the case of the CEM *Using the Ecosystem Approach*, 9% of users were of the opinion that it was published too late due to the lengthy period of nearly three years that had elapsed between the conceptualisation of the its content at a series of workshops and its eventual publication. They felt that the book had been overtaken by other products and had lost its niche in the market.

3.3 The Quality and Cutting Edge Nature of the Products and Services

For knowledge products and services to be used they have to have a reputation as credible and reliable sources of knowledge. We asked users for their perceptions of the reliability and credibility of the case study products and services. Responses elicited one of the most consistent findings across all Commissions – that Commissions' products are without exception regarded as highly credible and reliable.

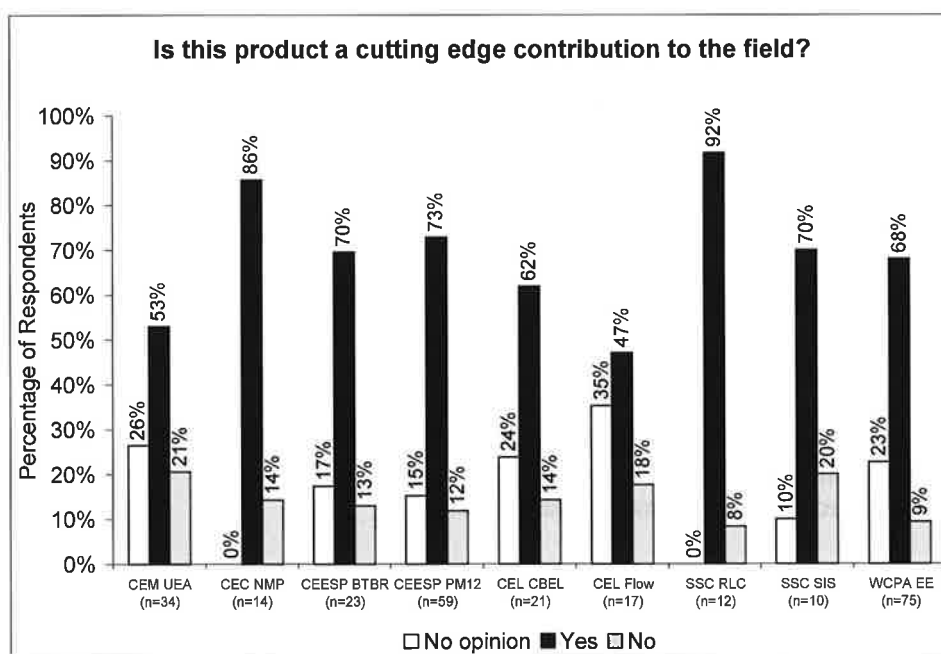
Table 3.2 shows that the reputation of IUCN, and its capacity to mobilise some of the best people in the world, were the most important factors determining the credibility and reliability of its products and services. Such a reputation is a highly valued organisational asset, but it is fragile and can easily be eroded. If one part of IUCN does not reflect the values, principles and quality portrayed by the organisation as a whole, in the eyes of its partners and clients it could affect the reputation of the whole organisation. This places a major responsibility on the shoulders of its leadership, including that of the Commissions.

Are the products and services considered to be of high quality and at the cutting edge of their field?

Table 3.2 User perspectives on the credibility and reliability of Commissions' knowledge products

	Total sample (n)	Number of responses	% of responses
Users who regard Commission products and services as credible and reliable	265	228	86
Users who do <i>not</i> regard Commission products and services as credible and reliable	265	5	2
Main reasons given by users for their belief in the credibility and reliability of the case studies			
i. Reputation and credibility of IUCN (only seven users, or 10% of this group, referred to a specific Commission)	164	67	41
ii. Excellent standing of authors, editors, advisers and/or project executors	164	44	27
iii. Own judgment or experience of the quality of the content	164	39	24
iv. Processes used to develop the product or service	164	28	17

Figure 3.1 shows that the vast majority of users viewed the case study products and services as cutting edge in their respective fields.

Figure 3.1 Users' perceptions of the extent to which the case study products and services can be regarded as "cutting edge" contributions to the field

However user comments indicate that the meaning of "cutting edge" should be questioned. As some of the outputs were far from the research frontier, the definition of "cutting edge" clearly lies in the experience and perception of the user and relates not so much to the breaking of new scientific or policy ground, as to addressing specific user needs and filling gaps in the market. For example, different users give the same reason for being on the cutting edge ("it repackaged existing material for a new purpose") as others give to argue that a

product is *not* on the cutting edge. Many of the debates in *Policy Matters Volume 12* have been in existence since the late 1980s, but the publication is seen as cutting edge as it gives a voice to practitioners, highlights practical experiences and consolidates existing knowledge to provide insights into important current issues. *Trade BioRes* is seen as cutting edge as it is a unique and innovative product with no competitors, focusing on an important current topic.

There are thus perceptual nuances in the definition of “cutting edge products” that should be well understood. Each Commission has to be sure what this means in the context of its mandate and strategic plans, and develop products and services that will ensure its reputation in this regard.

3.4 Quality Assurance

The credibility and reliability of products and services are closely linked with quality assurance mechanisms in IUCN. We were told that IUCN does not at present have a Publications Strategy or any coordinated quality assurance mechanism for its knowledge products. A peer review process has functioned in the past, but that it is not currently active and does not extend to the regions or Commissions. Quality assurance remains part of Commissions’ culture, but applied in a myriad of formats. This has led to widely varying processes and standards. The quality assurance mechanisms and processes are usually tailor-made for each product and service. The most effective processes were used by WCPA, CEL and SSC. All three Commissions have a strong focus on quality assurance and use in most cases their own peer review guidelines as well as rigorous editing and peer review processes.

The most successful products were subject to development processes of several years during which quality assurance was an essential component. For example, for the WCPA product *Evaluating Effectiveness* a task force of 50 people agreed on its shape, developed case studies and considered applicability across world. Workshops were held over several years during which hundreds of people gave their inputs. The CEL product *Capacity Building in Environmental Law* grew out of a two year course development process during which planning and advisory committees met, and materials were assessed and tested with more than a hundred expert course participants and a large number of authors. Editing was an iterative process with a large number of peer reviewers.

The development of the SSC *Red List Categories and Criteria* entailed a lengthy process of consultation with national and regional groups through expert workshops, as well as an open process of peer review where scientists could comment and help shape the content. They solicited the assistance of the best experts in the process. Ongoing modification and improvements are made to the interpretation of the criteria. This process is managed by a Standards Sub-committee. A system of checking and monitoring by the Red List Committee, the Red List Officer, assessors and evaluators further assists in the process.

Another quality assurance process tested over time is managed by ICTSD and underpins the quality of *Trade BioRes*. ICTSD has an Editorial Committee supported by an internal peer review committee and “ombudsman”. They use continuous cross-checking of information using multiple independent sources to help ensure the integrity of their information.

For the project CEC *Nature Management in Partnership*, regular interaction between the national teams and advisers was used to monitor progress through small group discussions, questionnaires and shared learning, supported by a formal end of term evaluation. The quality assurance processes for CEM *Using the Ecosystem Approach* and CEESP *Policy Matters Volume 12*. Peer review processes were quite informal, without specific guidelines, and involved only three to five Commission members or partners in the development of the publication. These were also the publications about which users and/or key informants had the most critical comments.

From the case studies we conclude that quality assurance is most effective when based on inclusive, iterative processes using the regular input of a large number of highly regarded Commission members over a period of time. This approach makes the best use of one of the aspects of the Commissions' comparative advantage – the convening power to mobilise the diverse and extensive expertise of their networks towards a common goal. Other successful approaches include formal and regular monitoring and evaluation processes for services, and peer review using systematic processes and guidelines as well as inputs from a significant number of peer reviewers who can bring a variety of perspectives to bear on the assessment.

We find it of concern that some products did not reflect the corporate identity of IUCN. While resource constraints can be a factor for consideration, all Commission products developed in the name of IUCN should be guided by style standards set by the organisation.

3.5 Targeting of audiences

The majority of the nine case study products and services were developed in response to a well defined need. User audiences were easily defined on that basis and targeted from first conception of the product or service. The target audiences were usually very broadly defined. Only in a few cases were influential individuals and institutions, and “connectors” to those with decision-making power targeted more specifically. In our discussions relevant people in the Commissions admitted that more purposeful targeting of influential individuals and organisations is needed to maximise the impact of products and services.

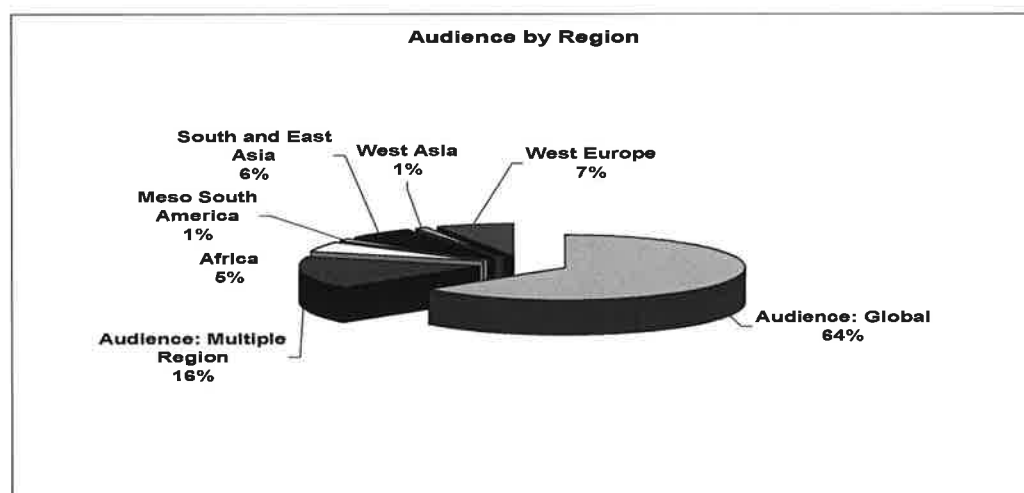
Are the products and services targeted carefully targeted at the right audiences?

The broadly defined target audiences often included policy makers and field practitioners as well as an array of other stakeholders. In such cases the style and format for publication requires more careful thought and diversification to ensure that the various audiences are reached in the most effective manner.

We compared the audiences targeted by each Commission with those recommended by the *users* as appropriate target groups for that product. In all cases the recommended user audiences were even more extensive and would thus have required broader dissemination than those actually targeted by the Commission.

A factor affecting the targeting of products is the audience at which their content is aimed. We used the analysis of the 109 knowledge products to determine the geographic focus of the content of the Commissions' knowledge products. Sixty four percent of the products were directed at a global audience, with the rest targeting more than one region or a single region (Figure 3.2; Table 3.3).

In the limited timeframe for the Review we could not determine whether there has been a shift in focus in the product content from global to regional audiences since the regionalisation of IUCN. Several regions are absent from the list (North America and the Caribbean, Eastern Europe, North and Central Asia and Oceania). Even if there has been a shift, the number of products aimed at regions remains relatively low. The implications of these findings have to be considered by each Commission in view of its regionalisation strategies and cooperation within the various regions.

Figure 3.2 The content focus of the Commissions' knowledge products per region**Table 3.3 The content focus of the Commissions' knowledge products, per Commission**

	Number of Products	Audience: Global	Audience: Multiple Region	Audience: Single Region
CEM	5	4	1	0
CEC	29	13	2	7
CEESP	22	13	3	3
CEL	15	6	2	4
SSC	20	14	4	1
WCPA	18	10	3	3
Not assessed	16			
	109	60	15	18

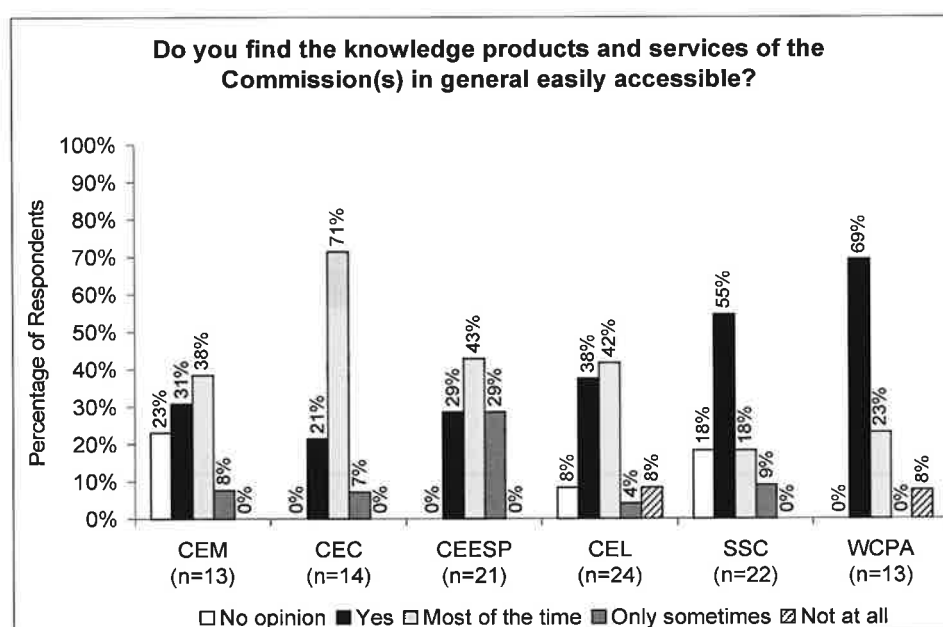
3.6 The Accessibility of the Knowledge Products and Services

Overall, 41% of a total number of 104 users who responded to this question found Commission knowledge products and services readily accessible (compared to 38% who found them accessible most of the time and 14% who found them accessible only sometimes or not at all). The responses varied significantly between Commissions (Figure 3.3), with CEESP products regarded as the least accessible.

Are the products and services disseminated so that they are available and accessible to users?

The availability of material on the IUCN and Commission Websites has increased accessibility markedly during the current Intersessional Period. The increasing number of Website downloads supports this perception.

One major problem in the accessibility of Commission products is that of language. Of the 109 main products produced by Commissions during this Intersessional Period, 95% were originally produced in English and 5% in Spanish (Table 3.4). Five percent were also published in Spanish and 2% in French. Only CEESP has published products exclusively in Spanish. Articles in *Policy Matters* are published in English, Spanish or French, a practice which could be more widely adopted.

Figure 3.3 Users' perceptions of the accessibility of the Commissions' knowledge products and services**Table 3.4 Language of publication of the Commissions' knowledge products**

	Number of Products	English	French	Spanish
CEM	5	5		
CEC	29	26	2	5
CEESP	22	20		4
CEL	15	15		
SSC	20	20		
WCPA	18	18		
	109	104	2	9

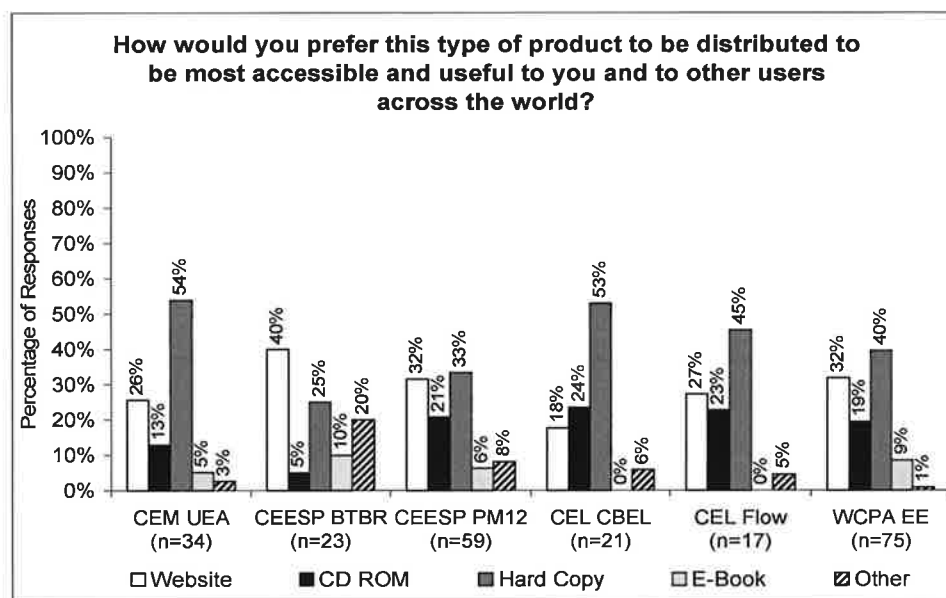
We know that Commissions want to make their publications available in several languages and we recognise that the current situation is mainly due to competing priorities for resources. However more careful consideration needs to be given to find innovative strategies to increase the number of products in other languages.

3.7 The Dissemination of the Knowledge Products

Commissions usually distribute hard copies of their products to all members, place copies at major events such as SBSTTA or COP meetings, and send a small number to IUCN regional and sometimes country offices. Sometimes key organisations outside the Commissions are targeted for distribution. Nearly all publications are available on the Website. Only some were made available on CD ROM.

This pattern is in line with the distribution methods preferred by the users. The majority of users, whether from developing or developed countries, preferred Commission products to be made available in hard copy in parallel with Website files and/or CD ROM copies (the third most preferred method of distribution). Eighty percent of these users preferred a combination of hard copy and Website material. Only 21% preferred CD ROM as a major means of distribution (Figure 3.4).

Figure 3.4 Users' perceptions of the best distribution methods for the case study products²⁴



Users are not always end points. Fifty three percent of 248 users surveyed had passed the product, or information about it, on to others. Clearly our surveys and interviews reached those who had received the Commissions' products and services, but there is a larger and unknown group of potential users who are missed by current dissemination strategies and who might never have been reached by IUCN if it was not for this secondary distribution by users.

The responsibility of Commissions to reach individuals and organisations worldwide means that the dissemination of their knowledge products requires significant resources. Their audiences do not want to, and cannot, depend only on electronic distribution methods and this means that hard copies need to be printed at high cost. Cost-efficiency then becomes an important issue. We did not find clear signs of waste in the distribution of hard copies, but anecdotal evidence insists that piles of hard copies have been found abandoned in some Regional and National Offices and in the warehouse in Cambridge. There is also little evidence of coordinated dissemination strategies managed by the Commissions to ensure effectiveness and efficiency in reaching their targeted audiences.

²⁴ SSC SIS and CEC case study products and services were not included in part of this analysis due to their different nature and focus

We believe that two areas need attention to minimise undue waste:

- Material placed randomly at events, where there is no targeting or control over who obtains a copy.
- Material sent to IUCN Regional and National Offices.

The role of the IUCN Regional and National Offices in the targeting and dissemination of products needs to be studied in greater detail as only 16 Secretariat survey responses were received. Fourteen were from Regional or National Offices. Indications are that few of these offices have worked with the Commissions on a dissemination strategy for their products (Table 3.5).

Table 3.5 Secretariat involvement in the dissemination of Commission products

	Total sample (n)	Number of positive responses	% positive responses
Secretariat staff who assisted with the dissemination of the case study products	16	14	88
Secretariat staff involved in designing, with any of the Commissions, a dissemination strategy for any of the products	16	4	25

The involvement of Secretariat staff is random and their distribution strategies consist mostly of handing the material to those who were interested in IUCN, or who they thought might benefit from the material. Only in one case very specific targeting was done to ensure that “IUCN work is not replaced by other ongoing efforts which are being undertaken in parallel to relevant EU decision makers”.

We recommend that the Commissions

- develop concerted strategies to target influential individuals and organisations who can help obtain the intended outcomes to which these products and services can contribute;
- consider innovative strategies for the distribution of products, for example making use of electronic summaries for listserves;
- limit the random distribution of material at large events; and
- develop effective dissemination strategies in partnership with IUCN Regional Offices and the thematic programmes where relevant.

3.8 The Use and Influence of the Knowledge Products and Services

For this component of the Review we selected a range of case studies in order to test the methodology. This meant that several products used in the case studies were released, or the pilot phase of a service completed, only in 2003. In such cases not enough time has elapsed to ensure a good perspective on its use, and certainly not enough to have resulted in concrete results or influence. Ideally these products should be tracked again in about two years’ time to determine progress in this regard.

Is there evidence of use, results and influence as a result of these products and services?

Where this was not a problem the case study products and services have been used extensively, often with impressive results and influence. Sixty six of all those who gave input

into this study have used the products or services, while one third knew of concrete results and/or influence (Table 3.6).

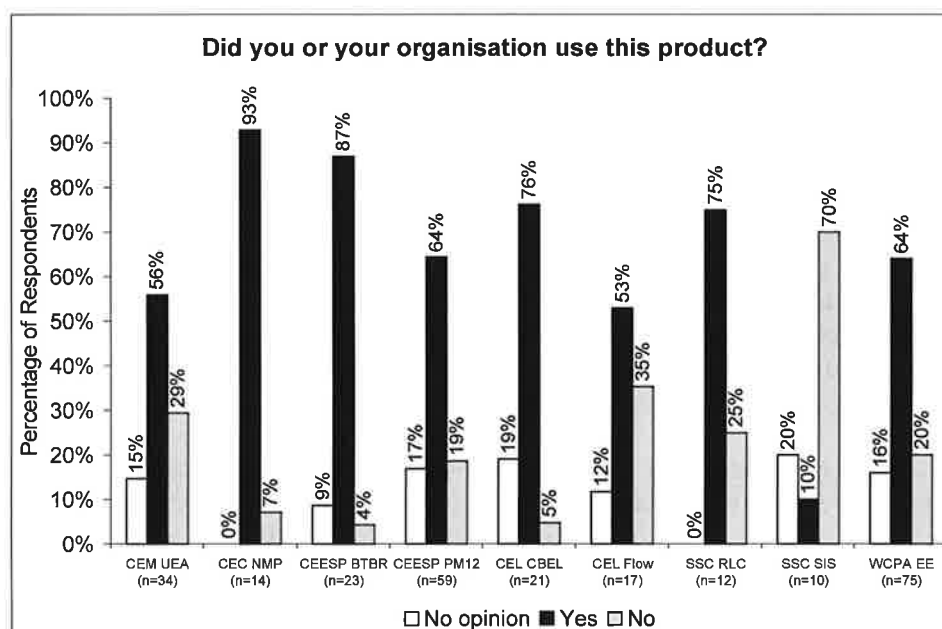
Table 3.6 Extent of the use and perceived effects of the case study knowledge products and services among the user respondents

	Number of users	Total sample	% of users
Users who used at least one of the products or services	172	262	66
Users who knew of concrete results from use of product or service	87	262	33
Users who could point to influence resulting from use of product or service	97	262	37

A clearer picture of the extent of use and influence of each of the case study products emerges in Figures 3.5 and 3.6. All the products and services were used as expected in terms of the target audiences and types of use. Where concrete results and influence were observed, these were generally in line with the expectations of their initiators and producers.

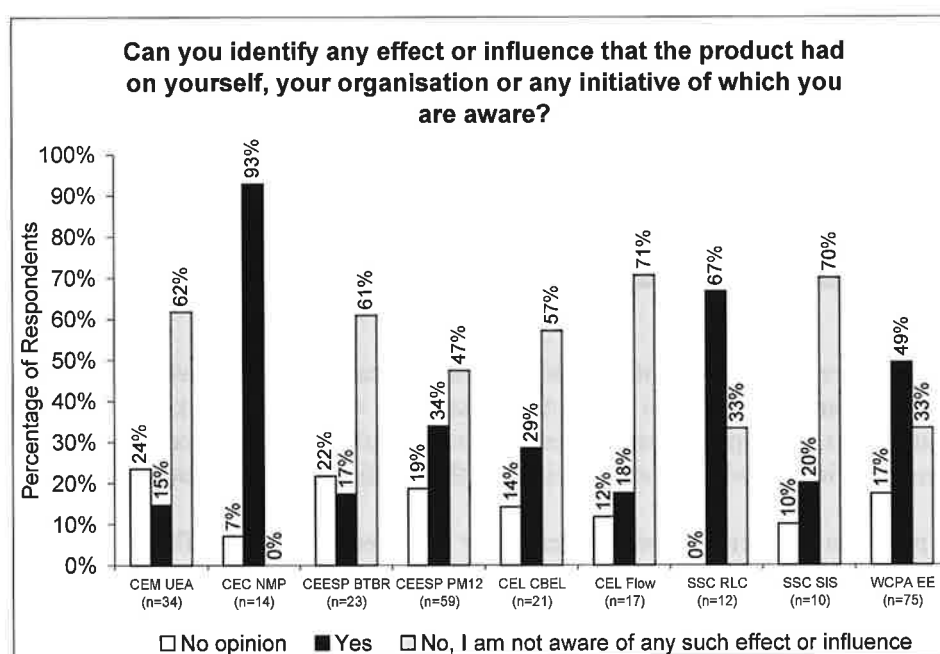
Where products and services were released or completed in time, influence was detected at institutional, national, regional or even global level. CEESP's *Trade BioRes* has contributed to a better understanding of trade and biodiversity in a number of institutions, including in IUCN. CEL's *Capacity Building in Environmental Law* has been changing the way in which environmental law is taught across a region, while CEC's *Nature Management in Partnership* has had a strong influence on the insights and methods of individuals in five countries in Eastern Europe. The SSC *Red List Criteria and Categories* has greatly improved the manner in which endangered species are identified around the world. WCPA's *Evaluating Effectiveness* had significant influence at global level, and several of the others show promise to do so over time.

Figure 3.5 The extent of use of each of the case study products and services among user respondents



*The lack of use of SSC SIS should be interpreted against the detail of its case study as well as the small sample size.

Figure 3.6 The extent of influence of each of the case study products and services among user respondents*



*The lack of influence of some of the products could be related to the time of their release and should be interpreted against this factor

Elements of IUCN's comparative advantage are apparent in these results. Its access to institutional, national, regional and global decision-makers and powerful forums through its Commission members and IUCN Members, and its convening power to bring together experts from diverse backgrounds around the generation of a product, provides for fast uptake and application of the knowledge it disperses. Its reputation and credibility as organisation are important factors in people's willingness to learn from and apply the knowledge displayed in its products and services. The Commissions' diverse membership and access to influential forums across the world also helps to ensure that real needs can be identified to underpin the development of knowledge products and services.

One aspect that requires greater clarity is the uptake and use of the Commissions' products and services by the Secretariat (and also by other Commissions). If IUCN is to optimise the opportunities presented by its unique structure, the Secretariat should make good use of the expertise offered by the Commissions to help direct current and future operations. The Commissions' products should dissect emerging issues to help direct future directions and identify opportunities for cutting edge interventions at national, regional and global levels. A close linkage between the Secretariat and the Commissions is essential to ensure adequate information flows and the nurturing of collaboration that can add value to products and services during or after their development.

Our information on the use of the Commissions' products and services by the Secretariat is limited to the responses of a small number of Secretariat representatives. We recommend that a more intensive study of this aspect is conducted, although the Review has provided some insights in this regard (Table 3.7). Fourteen of the 16 respondents were from Regional or National Offices.

Of all the case study products and services, the *Red List Categories and Criteria* (44%), *Using the Ecosystem Approach* (38%) and *Flow* (31%) have been used the most by

Secretariat respondents. A large number (more than 60% in each case) of the Secretariat respondents were not familiar with CEC, CEESP or CEL products. In some cases this is to be expected, for example two products/services were regional initiatives while one was an advocacy initiative aimed specifically at the CBD COP. We would have expected that more Regional and National Offices would have known about the CEESP products and suggest that CEESP makes an effort to design its dissemination strategies in collaboration with the Regional Offices of IUCN.

Table 3.7 Perspectives on the use of the case study knowledge products and services by the IUCN Secretariat

	Total sample (n)	Number of positive responses	Percentage of positive responses
Did any of the case study products and services respond to an articulated need in your region or thematic area?	16	13	81
Did you or your programme office collaborate with the Commission in either the generation of the products, or in their application in the region or programme?	16	8	50
Did you use any of the case study knowledge products to assist you in your work during this Intersessional period?	16	10	63

3.9 Alignment of the Knowledge Products with the Work of IUCN

The knowledge produced by the Commissions can and should be instrumental in positioning IUCN in the arena which it aims to influence, and in accelerating the changes it wants to bring about. analysis of the 109 knowledge products of IUCN.

Are the Commissions' outputs aligned with IUCN's emerging agenda?

As noted before, the analysis was done to

- determine the potential of the knowledge products to contribute to the desired outcomes of the next Intersessional Programme,
- determine the extent to which they fit into and can contribute to IUCN thematic areas and
- determine their potential to help address emerging global issues such as the Millennium Development Goals (MDGs) and the Poverty Reduction Strategy Plans (PRSPs).

With the level of analysis that could be achieved using this method the results should be regarded as indicative only.

3.9.1 Alignment with the themes of IUCN

As expected, in all cases the content of the knowledge products was very closely matched with the mandate of each Commission and with the priority areas in their work plans. The extent to which the products transcend their own specific foci to address other programmatic areas in IUCN provides a sense of the scope and level of integration of their work across themes. These products may also highlight opportunities for collaboration (or existing collaboration) or facilitate the wider use of these products.

At least 36 of the 109 products were found to touch on IUCN themes other than the primary foci described in the Commissions' own mandates. Those themes addressed by CEC

(biodiversity, wetlands, forests, climate change, protected areas) highlight this Commission's emphasis on being instrumental to the work of other IUCN initiatives, while the strong protected areas theme in the work of CEESP is due to its collaboration with WCPA through TILCEPA and the significant number of outputs produced for the World Parks Congress in 2003. WCPA products in turn reflect the integrative role that events can play in stimulating collaboration between Commissions or between a Commission and IUCN component programmes.

3.9.2 Alignment with the 2005-2008 Intersessional Programme

To what extent does the Programme act as an effective receptacle for the Commission products and services? And on the other hand, to what extent could they contribute to the Programme of IUCN in the next Intersessional Period?

The 2005–2008 IUCN Programme is comprised of six Key Result Areas (five substantive Key Result Areas, and one KRA on delivering the Programme) which are based on a careful analysis of the global situation, key drivers of change and IUCN's niche and comparative advantage. The knowledge products were assessed according to their link to specific Results to be obtained through the Programme. Knowledge products can be linked to more than one Result and were coded in this manner if the links were apparent.

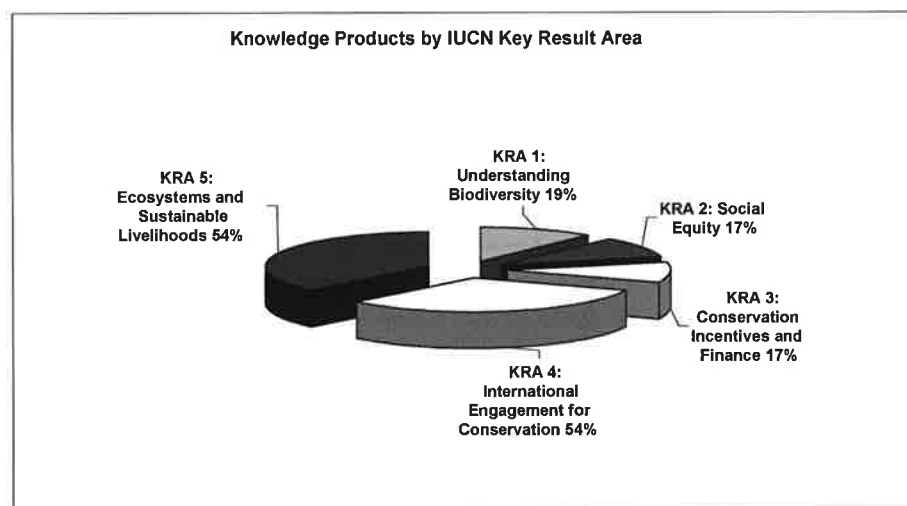
Figure 3.7 shows the relative distribution of the knowledge products against the five substantive Key Result Areas of the Programme. Two thirds of the products are positioned to contribute to KRA 4 (International Engagement for Conservation) and KRA 5 (Ecosystems and Livelihoods), with more or less equal distribution between KRAs 1-3. This synergy between the IUCN Programme and the Commissions' knowledge products is highly desirable. They contribute to an integrated knowledge base that inform IUCN's work at the international and ecosystem levels, yet also inform, albeit to a lesser extent, the basic technical understanding of social, economic and biodiversity conservation.

Box 3.1 The 2005-2008 Intersessional Programme Key Result Areas

KRA 1	Understanding Biodiversity
KRA 2	Social Equity
KRA 3	Conservation Incentives and Finance
KRA 4	International Engagement for Conservation
KRA 5	Ecosystems and Sustainable Livelihoods
KRA 6	Programme Delivery

As expected, the distribution of each Commission's knowledge products across the Key Result Areas and individual Results is well matched to each of their proposed 2005–2008 Intersessional Plans. For instance, most of SSC's knowledge products are clustered around KRA 1 - Understanding Biodiversity, and most of CEL's are clustered around KRA 4 - International Engagement for Conservation.

The IUCN Programme employs three Strategies – Knowledge, Empowerment and Governance - to deliver its results. Each knowledge product could be coded to more than one result. Those results coupled to the Knowledge strategy were nearly three times more than those coupled to either the Empowerment or Governance strategies. This is to be expected for several reasons. The Commissions focus strongly on knowledge generation and methodologically, when working with knowledge products there is a natural tendency to classify the results as part of the Knowledge strategy of IUCN. A knowledge product can only influence Empowerment or Governance if it is used specifically for that purpose, so when coding knowledge products as part of this exercise a very clear link to either the Empowerment or Governance strategies was necessary for it to be coded under these strategies.

Figure 3.7 The Commissions' knowledge products by Key Result Area

The analysis shows again that the results are in most cases closely aligned with the way in which the Commissions have defined their work. CEM, CEESP and SSC products are almost exclusively part of the Knowledge strategy of the Programme. The CEC products have a clear focus on the Empowerment of people and institutions, while CEL and WCPA products have linkages to Knowledge, Empowerment and Governance reflecting the areas in which they work.

3.9.3 Alignment with emerging global issues

Defining the global agenda in comprehensive and concise terms so that the knowledge products could be mapped against it was a challenge that required in the first place a suitable representation of the agenda. Among those considered were the Millennium Development Goals (MDGs), the World Summit on Sustainable Development (WSSD) Plan of Implementation and the World Bank supported Poverty Reduction Strategy Papers (PRSP) process.

The WSSD Plan of Implementation was eventually selected for this purpose (refer also to section 1.4.3). It contains a mixture of very specific elements such as addressing alien invasive species from ship ballast waters, and very broad elements such as climate change. The Commissions' knowledge products matched very well against three of the broader elements, with another 26 areas to which they can contribute (Table 3.8).

Table 3.8 Contributions of the Commissions' knowledge products to the WSSD Plan of Implementation

Focus in WSSD Plan of Implementation	Products contributing to this element (%)
Biodiversity	49
Legal and institutional arrangements	28
Poverty and equity	23
Integrated water resources development	9
Global change	8
For another 24 elements the percentage of contributing products is less than 5%	

The Commissions' knowledge products are thus aligned with the emerging poverty-environment agenda but are very much concentrated in the few WSSD elements that relate to IUCN's traditional areas of competence.

4 Conclusions

As a group the Commissions have performed very well in the aspects considered in this part of the Review. The case study knowledge products and services have been based on important needs in the conservation community; they have credibility and are regarded as on the cutting edge of their field; their formats were more or less appropriate for the target audiences; the timing of their release or implementation was still within the window of opportunity; the targeting and dissemination were generally appropriate and as far as the case studies could show, target audiences have generally been reached. With few exceptions the use and influence of the products and services were in line with the expectations of those who initiated their development.

The Commissions' products are also well positioned to contribute to the work of IUCN during the next Intersessional Period. The product content is well aligned with the IUCN thematic areas and most contribute to several themes. There is a very good resonance between the products and the 2005-2008 Intersessional Programme and many products have the potential to contribute to the expected IUCN Programme outcomes during the next few years. Although the WSSD Plan of Implementation is defined in broad terms, the products are in line with at least 29 of its actionable points.

Such positive findings can easily lead to complacency. Instead, we believe that the Commissions need to find ways to *accelerate* the use and influence of their knowledge products and services towards the desired outcomes. The 2003 External Review of IUCN notes that Commissions never had a monopoly of knowledge delivery in the Programme and that their leadership in their respective fields are far from assured. The environment in which the Commissions operate is now more competitive and challenging than ever before. There is an increased worldwide focus on knowledge management and knowledge networks as key organisational assets, and this Review has also shown that there are many networks competing with the Commissions for the input of their members. In several cases they are challenged by other networks perceived as more agile in serving the knowledge needs of contemporary conservation.

At the same time IUCN has been repositioning itself, through its Programme, for a more broad-based approach to generating knowledge in support of more pluralistic approaches to defining environmental problems and solutions. Yet the 2003 External Review of IUCN points out that the Programme does not explain how Commissions as the "established bastions of knowledge in IUCN" should function as they move into the new Millennium.

These challenges present an urgent call to the Commissions for new thinking about the way in which their tacit and explicit knowledge flows can best be mobilised and enhanced to deliver valuable knowledge outputs to the Union.

Furthermore, in spite of the fact that the Commissions have performed well in this regard, there are differences between how each of the case study products were handled and how they were perceived by users in terms of quality and relevance. There are therefore some areas for improvement and some lessons to be learned.

i. *Ensuring leadership in knowledge production*

To retain a leading edge in a competitive environment, Commissions have to be seen to have their finger on the pulse of critical knowledge needs and important emerging issues. This implies the development of cutting edge products that fill the most strategic niches and contribute most effectively towards the changes that IUCN wishes to pursue. In this context the Commissions could be more strategic in their thinking about which products and services to provide. Broader needs assessments and situation analyses should complement the current dependence on internally driven rationales for investing in certain products. A more purposeful approach is needed to identify opportunities and scan the field, including what the competition is producing, than we have seen in several Commissions. The 3I-C Fund provides one such opportunity, but the Commissions can also take better advantage of their own widespread networks and access to influential organisations to put in place systematic processes for determining which products and services are priorities and would fill the most important gaps.

As some of the case study outputs were far from the research frontier, the definition of “cutting edge” clearly lies in the experience and perception of the user and relates not so much to the breaking of new scientific or policy ground as much as addressing specific user needs and filling gaps in the market. Each Commission has to define the meaning of “cutting edge” products and services in the context of its own mandate and approaches, and develop appropriate strategies to ensure that their outputs satisfy this definition.

ii. *Minimising risk to IUCN’s reputation*

IUCN has an excellent reputation as producer of credible and reliable knowledge. This is a very valuable but fragile asset. If one component of IUCN does not reflect the values and quality portrayed by the organisation as a whole, in the eyes of its Members, donors and partners it could affect the standing of the whole organisation.

This places a major responsibility on its leadership, including of the Commissions. The Commissions’ leadership should undertake to ensure that their delivery of knowledge is based on criteria such as clear argument, socially and politically responsible standpoints in line with the mission of IUCN, the application of basic academic quality measures and scientific rigor wherever possible. While some Commissions have in place good quality control mechanisms and procedures, this is not universally the case. For its part, IUCN should reinstate systematic quality control and editorial review processes that include the products and services of the Commissions, particularly but not only where those are produced with the support of the Secretariat and carry the logo of IUCN.

iii. *Developing more strategic approaches to the knowledge production and dissemination process*

The Review was not able to do any analysis of cost-effectiveness but we suspect that for some products, current approaches to format and dissemination are less effective than they could, or should be. More use can probably be made of electronic media for dissemination and more strategic distribution of materials by target group, by region and to meet key timelines.

The Commissions should include specific attention in their work plans and strategic plans to their products and services so that the whole production and dissemination process is a strategic one that ensures the key people and organisations are reached and fewer hard copies go to waste. Dissemination strategies should be devised in collaboration with

IUCN thematic programmes and Regional Offices to ensure optimal reach of products and services with limited resources.

iv. *Adding value to knowledge products and services through collaboration*

It is too early to determine whether the Commissions are adequately responding to the regionalisation of IUCN's Programme through their knowledge products and services. In terms of content and distribution the regionalisation does not appear to have progressed very far. The 2003 External Review of IUCN notes that

In a regionalised and decentralised Union in whose Programme Members are expected to play an increasingly prominent role, much of the knowledge management work must be articulated with regional and country offices and with Members.

Yet Commissions seem to contribute little to this approach. This has been confirmed by our observations. We have seen many examples of partnerships in knowledge production between the Commissions and other organisations (including IUCN Members), yet few where Commissions have worked together or have collaborated with Secretariat component programmes. Increased collaboration within IUCN can add value to new or existing products by adapting their format for different audiences who may not have been among the original target groups. The role that joint initiatives can play in developing a portfolio of products and services spread across the knowledge product and services value chain, and enhancing the K-E-G strategy of IUCN, should thus be understood more clearly.

This implies that the knowledge flows across the organisation have to be understood in depth and dissonance between the different parts of the organisation or obstacles to the uptake of Commissions' knowledge products and services by the Secretariat and the IUCN Members should be addressed. We trust that the Knowledge Management Study now being conducted in IUCN will study these aspects in depth.

v. *Tracking use, influence and impact of knowledge products and services for improved planning and accountability*

Last, but not least, we did not find that any of the Commissions are monitoring the use of their knowledge products and services beyond collecting statistics on visits to their websites, or are systematically evaluating the use and impact of their outputs. We recommended that the Commissions be included in the IUCN Monitoring and Evaluation System, and this should include tracking the use, influence and impact of their outputs on a systematic basis.

To this end, this component of the Review has shown that it is possible to determine whether the use of the Commissions' products and services actually lead to the intended changes. Looking forward, the Commissions can map their intended knowledge products and services, assess their place on the knowledge value chain, assign priorities based on known criteria and integrate their outputs into their overall strategic frameworks.

Annexes

- Annex 1: Case study knowledge products and services
- Annex 2: Research instruments: Interviews
- Annex 3: List of informants
- Annex 4: Research instruments: Surveys
- Annex 5: List of references
- Annex 6: Commission knowledge products 2000–2004 used for analysis
- Annex 7: Criteria for the mapping of the 109 Commission knowledge products

Annex 1. The Case Study Knowledge Products and Services

	KNOWLEDGE PRODUCT/SERVICE	ACRONYM	CATEGORY OF PRODUCT/SERVICE	DATE PRODUCED
CEM	<i>Using the Ecosystem Approach to Implement the Convention on Biological Diversity – Key Issues and Case Studies.</i> Ecosystem Management Series No 2. RD Smith and E Maltby	CEM UEA	Book (principles of application based on case studies)	2003
CEC	<i>Nature Management in Partnership - A capacity development programme in communication</i>	CEC NMP	Capacity building programme	1997-2003
CEESP	<i>BRIDGES Trade BioRes</i>	CEESP BTBR	Fortnightly technical newsletter: Joint GETI/ICTSD initiative	Launched in 2001
	<i>Policy Matters, Vol. 12. Community Empowerment for Conservation</i>	CEESP PM12	Newsletter/journal (articles, case studies)	2003
CEL	<i>Capacity Building for Environmental Law in the Asian and Pacific Region: Approaches and Resources, Volumes I & II.</i> Edited by Donna G Craig, N. A Robinson, Kheng-Lian Koh	CEL CBEL	Resource books for Asian and Pacific region	2002
	<i>Flow – The Essentials of Environmental Flows.</i> Edited by Megan Dyson, Ger Bergkamp, John Scanlon	CEL Flow	Book for management and implementation Joint initiative: Commissions and WANI	2003
SSC	<i>Red List Criteria and Categories (Version 3.1).</i>	SSC RLC	Publication (guidelines for application of criteria)	2001
	<i>Species Information Service (SIS) as Applied to the Global Amphibian Assessment</i>	SSC SIS	Information product/service (database/information system supported by expert network)	Pilot phase completed 2003
WCPA	<i>Evaluating Effectiveness – A Framework for Assessing the Management of Protected Areas.</i> Best Practice Protected Area Guidelines Series No 6. Marc Hockings with Sue Stolton & Nigel Dudley	WCPA EE	Book (best practice guidelines for implementation)	2000 Published at end of previous Intersessional Period; use and influence in this Intersessional Period

Annex 2. Research Instruments: Interviews

2.1 Knowledge Producers Interview

2.2 Knowledge Products and Services Users Interview

2.1 KNOWLEDGE PRODUCERS INTERVIEW

- Knowledge product/service name
- Interviewee/informant's surname, name, title, position, institution, country, email, telephone – *preferably from sources other than the interviewee in order not to waste his/her time during the interview*. An Excel template should be used with fields in the order of the information required
- Date and time interviewed, and by whom
- The reason why the person was interviewed (author, editor, working group chair, key informant for this product, etc.)

Short introduction based on, and extending, the content of the email request for the interview. Use own initiative depending on type and background of person interviewed. Make sure he/she understands what is meant by knowledge products and services – refer to list in Working Document.

Note that the user could be external or internal to the IUCN, and in the latter case can be a Commission member, Secretariat or IUCN Member. Please adjust your questions if necessary to suit the particular informant's circumstances.

1. Placing the Informant

- 1.1 Note beforehand where possible, and otherwise ask, if and in what way they are linked to IUCN.
- 1.2 For how long have you been acquainted with the IUCN Commission(s)? In what capacities did you work with them/serve as member (if relevant)? (What are your linkages to IUCN and its Commissions?)

2. Conceptualization of the Knowledge Product/Service

(The rest of the interview focuses on the particular knowledge product under consideration. Please refer to the product by its name when conducting the interview).

- 2.1 Who initiated the idea of the knowledge product/service? Who developed the concept?
- 2.2 What were the “driving forces” that led to the idea and development of the knowledge product/service? In other words, what were the primary reasons why this product was a Commission priority for this Intersessional period?
- 2.3 If this was not answered in 2.2: How did you determine that the product responds to a specific need in the field and how did you ensure that you had a good assessment of the field? Did you use a situation analysis, for example?
- 2.4 Do you believe that the reasons for generating the product were appropriate, taking into account the mandate and purpose of this Commission and of IUCN Commissions in general? Please explain your answer.
- 2.4 How did you get involved in the development/creation of this knowledge product/service? What motivated you to become involved?
- 2.5 Who else were key players and in what roles/what did they contribute?

- 2.7 What value did the knowledge product/service add to its field? And to the work of the Commission?
- 2.7a How purposeful are you in ensuring that your product(s) add the greatest value when you take your comparative advantages into account? (asked of Commission Chairs and other Commission leaders)
- 2.8 Is it in your view a “cutting edge” product/service? Does it advance the frontiers of knowledge in areas that are *at present* considered relevant to the conservation movement? Please give reasons for your answer.
- 2.9 Does this product/service link to or inform any major global issues (poverty, trade, security, PRSPs and MDGs)? If so, please note the area(s) and the measure to which it informs this issue/these issues.
- 2.10 How is this product/service positioned *relative to those of other knowledge providers* in the field? Please give reasons for your answer.
- 2.11 What quality control mechanisms and processes were used to ensure the quality of this knowledge product/service?
- 2.12 Do you have established standards and/or guidelines that are part of your quality control processes?

3. Targeting the Audience

- 3.1 Who did you regard as the primary potential users of this product/service? In other words, at whom was it aimed?
- 3.2 Were you (and the others involved in the production of the product/service) from the beginning clear about the agendas and audiences you wanted to influence or whose capacities you were trying to build? Did you develop the knowledge product/service from the beginning with the intended users in mind?
- 3.3 Did you try to identify the key people, the “connectors” or most influential organisations that needed to be targeted in order to increase the potential influence of the product/service? If so, what process (if any) did you follow to identify them?
- 3.4 Has the product addressed the thematic and geographic needs identified during your prioritization processes, for example in your situation analysis?
- 3.5 Did you reach your intended users? Do you have a system in place to monitor this? What would you suggest that can be used to determine whether your product/service is actually used? (e.g. Website downloads; citations)

4. Dissemination

- 4.1 Did you have a strategy for disseminating the product? If so, what were its key elements?
- 4.2 How and where was the knowledge product distributed (or the service implemented)? What factors influenced these distribution patterns?
- 4.3 Were the distribution tools and methods used appropriate to ensure adequate coverage of the targeted audiences (for example, in terms of North/South access)? Please give reasons for your answer.

5. Use and Influence of the Knowledge Product

- 5.1 Do you know of any examples of where the product/service was used? (Probe: how, where, by whom, why)
- 5.2 Do you know of examples where it obtained concrete results (e.g. affected a policy or system) or influenced the knowledge, attitude or behaviour of people or organisations? Could you provide contact details of those who could tell us more?
- 5.2 Are you aware of any unexpected effects of this product/service?

6. Link to IUCN Work and Programme

- 6.1 To what extent has this product helped you in your planning and work for IUCN? If not, do you think it should have done so? Please explain your answer.
- 6.2 Was this product/service part of your priorities and work plans during this Intersessional Period?

7. Other

- 7.1 Are there any other issues you would like to raise with us in the context of what we have discussed?

2.2 KNOWLEDGE PRODUCTS AND SERVICES USERS INTERVIEW

Ensure that you note the following clearly in your transcription

- Knowledge product/service name
- Interviewee/informant's surname, name, title, position, institution, country, email, telephone – *preferably from sources other than the interviewee in order not to waste his/her time*. An Excel template should be used with fields in the order of the information required
- Date and time interviewed, and by whom
- The reason why the person was interviewed (user of knowledge product/service)

Give short introduction based on, and extending, the content of the email request for the interview. Use own initiative depending on type and background of person interviewed. Make sure they understand what we mean by knowledge products and services – refer for your own understanding to the list in our Working Document.

Note for your own information that the user could be external or internal to the IUCN, and in the latter case can be a Commission member, Secretariat or IUCN Member. Please adjust your questions if necessary to suit the particular informant's circumstances.

Note: Do not interview authors, editors or primary drivers of the production of this book with this protocol – another has been designed for this purpose.

1. Placing the Informant

- 1.1 Note beforehand (if you know), whether they are IUCN Secretariat staff or Commission (which?) member.

IUCN Secretariat	Commission member	No
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- 1.2 Do you have any particular linkages to the IUCN Commissions? (Asked to those Users not covered in question 1.1 to see if they have been ex IUCN staff, donor, etc. This includes whether they are IUCN Members)

- 1.3. How well are you acquainted with the work of the IUCN Commissions? (Note if for a specific one).

Very well	Fairly well	Somewhat	Not really
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2. Use and Influence of the Specific Knowledge Product

This section refers exclusively to the knowledge product that you need to discuss with them. Use the name of the product/service wherever appropriate.

THE PRODUCT ITSELF

- 2.1 Are you familiar with this specific product (or service)? If so, how did you first get to know about it? (Give name of product/service).

Very familiar	Fairly familiar	Somewhat familiar	Not at all familiar
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(Note: If they are not familiar with it, you need to terminate the interview here).

- 2.2 Did you find its style and format attractive and user-friendly? (Note that this question might need to be adapted depending on the type of knowledge product or service). Please suggest improvements if you wish to do so.

Very attractive and user-friendly	Fairly attractive and user-friendly	Needs significant improvement	Not at all attractive and user-friendly
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- 2.3 Do you believe that this product (or service) is a *credible and reliable* source of information for your work or field of interest? Please explain your answer. (Or: In your eyes what makes it credible and reliable)?

Yes	No	Don't know
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- 2.4 Did this product add any value to its field? For example did it generate new knowledge that advanced its field, develop tools or methods, integrate and repackage existing knowledge for new insights, bridge the gap between theory and practice in order to assist practitioners; or develop the capacity of specific (other) groups? Please explain your answer.

Yes	No	Don't know
-----	----	------------

Give them the fields below as examples:

Generated new knowledge that will advance the field	Developed new tools and methods	Integrated and repackaged existing knowledge for new insights	Developed capacity of specific groups (who?)	Bridged gap between theory and practice in order to assist practitioners	Other (please note what they are)
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- 2.5 Is it in your view a “cutting edge” product? Does it advance the frontiers of knowledge in areas that are *at present* considered relevant to the conservation movement? Please give reasons for your answer.

Yes, it certainly advances the frontiers of knowledge in relevant areas	It advances the frontiers, but not in currently relevant areas	It does not advance the frontiers, but builds capacity	No, it does not advance the frontiers of knowledge, nor does it build capacity	Don't know
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- 2.6 More specifically, does this work link to, or inform in any of the major global issues? If so, please note the area(s) and the measure to which it informs this issue/these issues.

Yes	No	Don't know
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Area(s) it informs: Poverty___ Trade___ Security___ Culture/religion___ PRSPs___ MDGs___
Other_____

- 2.7 How is this product (or service) positioned *relative to those of other knowledge providers* in the field? Please give reasons for your answer.

The seminal work in this regard	One of the leading contributions	“One of a crowd”	Irrelevant to the key issues of today in the conservation movement	Don't know
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- 2.8 Was the timing of the release of the product (or provision of the service) appropriate to address the need at which it was aimed? Please explain your answer.

Yes, it was appropriate	No, it was too late to make a real impact	It was ahead of its time	Don't know
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- 2.9 Would you have preferred the product to be distributed in another way/format? Here we refer to the medium – electronic, CD-ROM, hardcopy, etc. Can you provide guidance on what the best technologies are today for effective distribution of this type of product?

THE USE OF THE PRODUCT

2.10 Who do you believe should be the primary user(s) of this product?

2.11 Did you or your organization use this product (or service) in any way? If not, please explain why not. If yes, please provide examples of use (Special probe needed here – who used it, for what purpose and how, what did it achieve, why this product and not another, etc. Try to build a story around its use.)

Yes we have used it (give examples)	No we have not used it
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2.12 Did you pass on the specific product to any other potential user(s)? If so, to whom and why?

2.13 Do you know of any other examples of use of this product (or service) that we could follow up with other individuals, organisations or initiatives at local, national, regional or global level? If so, please could you provide contact details?

THE INFLUENCE OF THE PRODUCT

2.14 Did the use of the product (or service) lead to any concrete results (for example changes in systems, methods, approaches, policies, guidelines) of which you are aware – both in the case of your own use or its use by others? (In the case of others, and if it is not the contact given in 2.13, ask again for informant contact details. Probe for results – what was achieved and where, what changes took place, in whom, why and can it be attributed directly to this product).

Yes (give examples)	No, I am not aware of any concrete results
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2.15 Can you identify any effect or influence, for example changes in behaviour, knowledge or attitudes that the product (or service) had on yourself, your organization or any initiative of which you are aware? (In the case of others, and if it is not the contact given in 2.14, ask again for informant contact details. Probe for influence – who was influenced and where, what was the nature of the influence, why did the influence take place and can it be attributed directly to this product?).

Yes (give examples)	No, I am not aware of any effect or influence
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2.16 Are you aware of any unexpected effects (considering what you would have predicted the effects to be) of this product (or service)? If yes, please give examples.

Yes (give examples)	No, I am not aware of any unexpected effects
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3. General Perceptions of IUCN/Commissions as Knowledge Provider

3.1 If you are familiar with the work and products of the IUCN *Commissions* or one of the *Commissions*, do you regard their knowledge products generally as credible and reliable? (Note to which Commission(s) they refer, if any specific one. Note any comments they might have on this issue. If they say it is *not* reliable or credible, please note the reasons why)

Yes, they definitely are	Most of the time	Only sometimes	Not at all	Don't know
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3.2 Do you find the knowledge products and services of the Commission(s) in general easily accessible? Please give reasons for your answer.

Yes, always	Most of the time	Sometimes	Not at all
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3.3 As a general guideline, in what formats (in book form, on Website, etc.) would you prefer to access these products?

3.4 Can you mention any Commission products and services that stand out as of particular significance? Are there any that you have used extensively?

4. Link to IUCN Work and Programme

4.1 Question only to IUCN Secretariat staff, Commission Executive or Steering Committee member, or IUCN Member: Has this product informed or contributed to your IUCN work plan or its implementation? Please explain your answer.

Yes it has helped me in my IUCN work	No it has not helped me in my IUCN work
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5. Other

5.1 Are there any other issues you would like to raise with us in the context of what we have discussed?

Annex 3. Key Informants

COMMISSIONS

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Working Group Co-Chair

David Brackett
SSC, Chair

Donna Craig
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Roger Crofts
WCPA, Regional Vice-Chair

Holly Dublin
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Specialist Group Chair

Megan Dyson
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Mark Halle
CEESP, Vice-Chair, Working Group Chair

Denise Hamu
CEC, Chair

Frits Hesselink
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Marc Hockings
WCPA, Vice-Chair

Kheng-Lian Koh
CEL, Vice-Chair

Georgina Mace
SSC, Steering Committee
Chair, Red List Committee

Hillary Masundire
CEM, Chair

Ricardo Melendez-Ortiz
CEESP, Vice-Chair

Rob Monro
CEESP, Member

Adrian Philips
WCPA, Member

Nick Robinson
CEL, Chair

Gill Shepherd
CEM, Steering Committee

Richard Smith
CEM, Member

Andrew Smith
SSC, SIS and Specialist Group Chair

Gwendolijn van Boven
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Pedro Rosabal

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Stuart Salter

Manager, Species Information Service

John Scanlon

Head, Environmental Law Centre

David Sheppard

Head, Programme on Protected Areas

Simon Stuart

Coordinator, Global Amphibian Assessment

Ibrahim Thiaw

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Edgar Fernández

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Mammal and Reptile Coordination
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(Previously) CBD Secretariat
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Sofia Hira-kuri

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The Knowledge Products and Services Study

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Annex 4. Research Instruments: Surveys

4.1 Questionnaire for Users of Commission Knowledge Products

4.2 Knowledge Products Questionnaire for Secretariat

4.1 QUESTIONNAIRE FOR USERS OF COMMISSION KNOWLEDGE PRODUCTS

- Please tick or highlight the boxes where appropriate to indicate your answer.
- Please comment on any aspect where you wish to do so.
- Please note that all individual survey information will be treated as strictly confidential by the Review Team.
- Please note that the “knowledge product” in this questionnaire refers to the product [PRODUCT] of the [COMMISSION]

BACKGROUND INFORMATION

a.	Your organisation								
b.	Country in which you are based								
c.	Level of your work	Policy	Institutional	Programme	Field project	Other (please note level below)			
		Other:							
d.	IUCN affiliation (if relevant)	Commission member (please note which Commission below)			IUCN Member		Secretariat		
		Commission:		CEC	CEESP	CEL	CEM	SSC	WC PA
e.	How familiar are you with the work of the [COMMISSION]?	Very familiar	Fairly familiar	Somewhat familiar			Not at all familiar		
f.	Are you familiar with the knowledge product [PRODUCT]?	Very familiar	Fairly familiar	Somewhat familiar			Not at all familiar		

If you are not at all familiar with the Commission knowledge product in (f) above, please complete and return the questionnaire at this point (It is important for us to know even if you are not familiar with the product, so please do not hesitate to return an incomplete questionnaire).

1. The Quality and Contribution of the Knowledge Product

1.1	Do you believe that this knowledge product is a <i>credible and reliable</i> source of information? Please give a reason for your answer.	Yes	No	I don't know
		Comment:		
1.2	In what way, if at all, did this knowledge product contribute to its field? (Please feel free to select more than one.)	It did not contribute in any significant way It generated new knowledge that will advance the field It established new tools and methods It integrated and repackaged existing knowledge for new insights It provides information to develop essential capacity in the field It bridged a gap between theory and practice in order to assist practitioners Other (please specify) Comment:		

1.3	Is this knowledge product a "cutting edge" contribution to the field? In other words, has it advanced at the time of its release the frontiers of knowledge in areas that were then, or are now, relevant to the conservation movement? Please explain your answer.	Yes		No	
		Comment:			
1.4	Does the product have a significant focus on, or inform any of the major current global issues (listed right)?		Yes	No	I don't know
		Poverty			
		Trade			
		Security			
		Poverty Reduction Strategy Papers			
		Millennium Development Goals			
		Other (please note)			
		Comment:			
1.5	Was the timing of the release of the product appropriate to address the need at which it was aimed?	Yes, it was appropriate	No, it was too late to make a real impact	It was ahead of its time	I don't know
		Comment:			
1.6	Is the product in the right form, format and style to reach its audience? Please explain your answer.	Yes		No	
		Comment:			

2. The Use of the Knowledge Product

2.1	Did you or your organisation use this product? If not, please indicate the reason. If yes, please provide example(s) of use.	Yes		No		
		Comment and example(s):				
2.2	Who do you believe should be the users of this product? In other words, who would truly benefit from using this product?					
2.3	How would you prefer this type of product to be distributed to be most accessible and useful to you and to other users across the world?	Website	CD ROM	Hard copy	E-book	Other
		Other:				
2.4	Did you pass the product on to any other potential user(s)? If so, to whom and why?	Yes		No		
		Comment:				
2.5	Do you know of any examples of use of this product by other individuals, organisations or initiatives at local, national, regional or global level? If so, please could you provide examples and relevant contact details?	Yes		No		
		Example(s) of use:				

3 The Influence of the Knowledge Product

3.1	<p>According to your knowledge, what concrete results did the use of the product lead to if any (for example changes in systems, methods, approaches, policies, guidelines)?</p> <p>If you know of concrete results, please provide examples.</p>	Yes (refer to examples)	No, I am not aware of any concrete results
		Example(s):	
3.2	<p>Can you identify any effect or influence, for example changes in behaviour, knowledge or attitudes, that the product had on yourself, your organisation or any initiative of which you are aware?</p>	Yes (refer to examples)	No, I am not aware of any such effect or influence
		Example(s):	
3.3	<p>Are there any other Commission knowledge products (not necessarily from this list) that you have used extensively? Please note which one(s).</p>	Yes	No
		Comment:	

4 Other

4.1	<p>Is there anything else that you would like to share or raise with us in the context of this Review?</p>	Comment:
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THANK YOU VERY MUCH FOR YOUR VALUABLE TIME.

4.2 KNOWLEDGE PRODUCTS QUESTIONNAIRE FOR SECRETARIAT

- ☐ Please tick or highlight the boxes where appropriate to indicate your answer.
- ☐ Please comment on any aspect where you wish to do so.
- ☐ Please note that all individual survey information will be treated as strictly confidential by the Review Team.

BACKGROUND INFORMATION					
a. Your IUCN position					
Regional Director	Programme Coordinator	Senior Adviser	Commission Focal Point	Regional Commission Focal Point	Country Office Director
b. IUCN Programme Region in which you are based (if applicable):					
c. We have selected the following nine knowledge products of the six Commissions as case studies for the Review. These will be the focus of the questions that follow. Please note your familiarity with each product by ticking the appropriate boxes:					
	KNOWLEDGE PRODUCT	I am familiar with:	I have used:		
CEC	i. Nature Management in Partnership - A capacity development programme in communication				
CEESP	iii. <i>BRIDGES Trade BioRes. Technical Newsletter</i> , ITCSD/GETI joint product				
	iv. <i>Policy Matters</i> , Vol. 12, Sept 2003 – Community Empowerment for Conservation.				
CEL	v. <i>Capacity Building for Environmental Law in the Asian and Pacific Region: Approaches and Resources, Volumes I & II</i> . Edited by Donna G Craig, Nicholas A Robinson, Koh Kheng-Lian				
	vi. <i>Flow – The Essentials of Environmental Flows</i> . Edited by Megan Dyson, Ger Bergkamp, John Scanlon. Done in collaboration with WANI.				
CEM	vii. <i>Using the Ecosystem Approach to Implement the Convention on Biological Diversity – Key Issues and Case Studies</i> . Ecosystem Management Series No. 2. RD Smith and E Maltby				
SSC	viii. <i>Guidelines for the Application of Red List Criteria at Regional Levels (Version 3.0)</i> . Prepared by the Species Survival Commission, Jun 2003				
	ix. <i>Species Information Service (SIS)</i> as Applied to the Global Amphibian Assessment				
WCPA	x. <i>Evaluating Effectiveness – A Framework for Assessing the Management of Protected Areas</i> . Best Practice Protected Area Guidelines Series No. 6. Marc Hockings, with Sue Stolton and Nigel Dudley; Series Editor: Adrian Phillips.				

"The knowledge produced by the Commissions is derived from voluntary networks of experts who represent the state of the art thinking and practice in fields of conservation and sustainable development. The knowledge of these experts is delivered to the Union through a variety of outputs such as published books and reports, policy briefs, case studies, data bases, videos, action plans, the provision of technical advice and in some cases field project implementation."

Extract from the Terms of Reference for the Review of the IUCN Commissions 2004.

1.	GENERAL							
1.1	In your opinion, did the products with which you are familiar respond to an articulated need in your region or thematic area? If so, please provide examples. If not, please explain why you think this is the case.	<table border="1"> <tr> <td>Yes</td> <td>No</td> </tr> <tr> <td colspan="2">Comment:</td> </tr> </table>	Yes	No	Comment:			
Yes	No							
Comment:								
1.2.	Did you or your programme office collaborate with the Commission in i) the generation of any of these knowledge products, or ii) in the application of any of these products in your region or programme? If so, please note which ones.	<table border="1"> <tr> <td>Yes</td> <td>No</td> </tr> <tr> <td colspan="2">Comment: (i)</td> </tr> <tr> <td colspan="2">(ii)</td> </tr> </table>	Yes	No	Comment: (i)		(ii)	
Yes	No							
Comment: (i)								
(ii)								
2.	THE DISSEMINATION OF THE PRODUCTS							
2.1	Did you or your office help with the dissemination of any of the knowledge products in the list above? If so, for which products?	<table border="1"> <tr> <td>Yes</td> <td>No</td> </tr> <tr> <td colspan="2">Comment:</td> </tr> </table>	Yes	No	Comment:			
Yes	No							
Comment:								
2.2	Have you been involved with any of the Commissions in the development of a dissemination strategy which targeted specific users for any of these products? If so, for which products?	<table border="1"> <tr> <td>Yes</td> <td>No</td> </tr> <tr> <td colspan="2">Comment:</td> </tr> </table>	Yes	No	Comment:			
Yes	No							
Comment:								
2.3	On what basis did you target the distribution of these products if it was not part of a jointly developed dissemination strategy with the Commissions?	Comment:						
3.	THE USE OF THE PRODUCTS							
3.1	Did you use any of the knowledge products listed above to assist you in your work during this Intersessional period? If so, please list these and explain how you have used them.	<table border="1"> <tr> <td>Yes</td> <td>No</td> </tr> <tr> <td colspan="2">Comment:</td> </tr> </table>	Yes	No	Comment:			
Yes	No							
Comment:								
3.2	Could you provide other examples of use of any of these products listed above, including by other individuals, organisations or initiatives at local, national, regional or global level? Please provide contact details of those involved, if available.	Comment:						
4.	THE INFLUENCE OF THE PRODUCTS							
4.1	Are you aware of any concrete results stemming from the use of any of these products (for example changes in systems, methods, approaches, policies, guidelines)? Please provide examples from your own or others' experience and, if possible, contact details of those who can provide more information.	<table border="1"> <tr> <td>Yes</td> <td>No</td> </tr> <tr> <td colspan="2">Comment:</td> </tr> </table>	Yes	No	Comment:			
Yes	No							
Comment:								

The Knowledge Products and Services Study

4.2	Do you know of any effect or influence, for example changes in behaviour, knowledge or attitudes, that any of these products had on yourself, your office or any other initiative of which you are aware? Please provide examples and, if possible, contact details of those who can provide more information.	Yes	No
		Comment:	
4.3	Are there any other Commission knowledge products not on this list that you have used extensively? If so, please give examples.	Yes	No
		Comment:	
5.	OTHER		
5.1	Is there anything else that you would like to share or raise with us in the context of this Review?	Comment:	

THANK YOU VERY MUCH FOR YOUR VALUABLE TIME.

Annex 5. List of References

The following list represents the documents that were provided to us in hard copy. In addition to these it should be noted that we accessed further information available on websites, including –

- websites of IUCN, each commission and the Red List
- websites of about selected Specialist Groups
- websites of the main Conventions: CBD, CITES, Ramsar, Common Heritage
- others: Asia-Pacific Centre for Environmental Law, International Centre for Trade and Sustainable Development, International Institute for Sustainable Development.

Through these websites we were able to review Commissions' documents such as minutes of Steering Committees, Executive Committee meetings, background information on Commission related work on, for example, the IUCN Academy of Environmental Law, the Species bulletin, workshop reports, the Durban Accord, the Durban Plan of Action, CBD/COP7 Programme of Work on Protected Areas, UN List of Protected Areas, and the Ecosystem Approach Principles in the various versions.

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4. Commission on Ecosystem Management Steering Committee Meeting, CEM, March 6-8, 2003
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6. WCC Proceedings, Amman, Jordan, IUCN, 2000
7. WCC Resolutions and Recommendations: Amman, Jordan 2000, IUCN, 2000
8. World Protected Areas Leadership Forum: The Inaugural Meeting: Airlie House Report, IUCN, March 2000
9. Vision and Reality: The World Heritage Convention in Action, IUCN Bulletin, no.2, 2001
10. An Assessment of Progress 2002: IUCN Programme, 2002
11. IUCN Statutes and Regulations, IUCN Headquarters, revised on Oct 10, 2000 and May 29, 2002, respectively
12. Developing a Method for Prioritising Sites for Freshwater Biodiversity Conservation: report on a workshop organized by the IUCN Freshwater Biodiversity Assessment Programme, IUCN, Wetlands International, WANI & DGIS, June 2002
13. Human Resources: Recruitment and Appointment: Interns/Volunteers, IUCN Human Resources Department, May 2003
14. Governance Task Force Paper: Equipping IUCN for the 21st Century: The Governance Debate – Past, Present and Future, 5 May 2003
15. Statement of Principles on Equitable Human Resources Development, IUCN Human Resources Department, May 2003
16. IUCN Membership List (Booklet and CD), IUCN, July 2003

17. Background Paper on Poverty and the Environment: Preliminary Draft Prepared for the Poverty and Environment Workshop of IUCN, August 4-7, 2003
18. IUCN - External Review, External Review Team, October 2003
19. Report of the Governance Task Force, Council Paper UC.59/2003, Governance Task Force, December 2003
20. IUCN Knowledge Management Strategy Paper, International Institute for Sustainable Development (IISD), January 2004
21. Annual Workplan: The IUCN Programme, 2004
22. IUCN Learning Network: Business Plan, Version 2.0, IUCN, January 2004
23. IUCN Intersessional Programme Draft (commencing in 2005), IUCN Programme, January 2004

Other

1. Millennium Development Goals, Millennium Summit, September 2000
2. Le Patrimoine Mondial, UNESCO, 2001
3. Organizational Assessment: A Framework for Improving Performance, International Development Research Centre and Inter-American Development Bank, 2002
4. Working Paper Series: Is Trade Good or Bad for the Environment? Sorting out the Causality: Working Paper 9201, National Bureau of Economic Research, Inc, September 2002
5. Arctic Marine Strategic Plan, 1st Draft, December 2003
6. Interdisciplinary Research and Management in Mountain Areas (IRMMA), Parks Canada, Banff Centre, IUCN, January 2004

Annex 6. Commission Knowledge Products 2000–2004 used for Analysis

CEC	Title	Author	Date	Type	Publisher
	1 Education and Sustainability: responding to the global challenge	Tilbury, et al, eds.	2002	report	IUCN
	2 Mainstreaming Biological Diversity	IUCN		brochure	IUCN
	3 Towards a Decade of Education for Sustainable Development	IUCN	2003	position paper	IUCN
	4 Learning to last. Business and Sustainable Development: A Learning Guide for Sector Skills Councils	Sustainable Development Education Panel UK	2002	manual	Author
	5 Learning to last. Sustainable Development through Education: A Learning Guide for Professional Bodies	Sustainable Development Education Panel UK	2002	manual	Author
	6 Learning to Last: Sustainable Development through Education. A Learning Guide for Trade Unions	Sustainable Development Education Panel UK	2002	manual	Author
	7 IUCN Statement to the 2nd Committee, UN General Assembly, 58th Session	Singh	2003	position paper	IUCN
	8 Expert Meeting on Biodiversity, Education and Public Awareness: Towards global communities of Practice	IUCN	2001	report	IUCN
	9 International Symposium on the UN Decade of Education for Sustainable Development - Importance, Goals and Needs for Achievement	Goldstein	2003	report	IUCN
	10 Assessment of Education for Sustainable Development Needs in the Corporate Sector	Cooke and Tilbury	2001	survey	IUCN
	11 Identifying Priorities in Education and Sustainable Development: A Product Needs Assessment	Bowdler and Tilbury	2001	survey	IUCN
	12 Estrategia Adaluza de Educacion Ambiental	Junta de Andalucia	2002	strategy	Junta de Andalucia
	13 Comunicacion Efectiva para Involucrar Actores Clave en las Estrategias de Biodiversidad	IUCN	2002	book	IUCN
	14 Diversidad Biologica y Participacion Publica	Andelman	2002	book	IUCN
	15 Mainstreaming Biodiversity	IUCN	2002	report	IUCN
	16 Conservation, Education and Public Awareness in the National Wetlands Programme, Uganda	Semwogerere	2002	case study	IUCN
	17 Public Participation: From Engaging Society toward Building Social Capital	Hesslink Council of the Pan-European Biological and Landscape Strategy	2002	case study	IUCN
	18 Kyiv Resolution on Biodiversity		2003	agreement	UNECE
	19 Challenge for Visitor Centres	Kyostila, et al	2001	book	Metsahallius

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20	Can We Count on You?	IUCN		brochure	IUCN
21	Communication: An Instrument of Environmental Policy	IUCN		brochure	IUCN
22	Enabling Ecoaction: A handbook for anyone working with the public on conservation	Robinson and Glanging	2003	manual	Human Society International
23	Workshop Manual. ITTO Guidelines for the Restoration, Management and Rehabilitation of Degraded and Secondary Tropical Forest	IUCN	2003	manual	IUCN
24	CEC Statement on article 6	Baretta	2001	position paper	IUCN
25	WPC Recommendation 32: Strategic Agenda for Communication, Education and Public Awareness for Protected Areas	CEC	2003	position paper	IUCN
26	CEC's Member's perception on the vision and niche of CEC and motivation and expectations	Goldstein	2003	report	IUCN
27	Communication Common Agenda	Goldstein	2003	report	IUCN
28	Communication, Education and Public Awareness in Protected Areas. West Asia and North Africa	Goldstein	2003	report	IUCN
29	Global Perceptions of Environment and Sustainable Development 2002-2003	Hesslink	2003	report	IUCN

CEESP	Title	Author	Date	Type	Publisher
1	Policy Matters			newsletter	IUCN
2	Natural Protected Areas and Social Marginalization in Mexico	Nadal	2003	paper	IUCN
3	CM News			journal	IUCN
4	Trade, Aid and Security: Elements of a Positive Paradigm	Halle, et al	2002	report	IUCN and IUCN
5	Livelihoods and Climate Change: Combining disaster risk reduction, natural resource management and climate change adaptation to reduce vulnerability and poverty	various	2003	report	IUCN, SEI, IISD and Inter Cooperation
6	IUCN-IISD-SEI-IC Task Force on Climate Change, Vulnerable Communities and Adaption: Report of the Second Meeting		2002	report	unpublished paper
7	Adapting to Climate Change: Natural Resource Management and Vulnerability Reduction	Abramovitz, et al	2002	report	SEI, IISD, IUCN and World Watch Institute
8	Climate Change, Vulnerable Communities and Adaption Task Force: Report of the First Meeting		2001	report	IUCN and IISD
9	Conflicting Interests: Introduction to Business and Conflict	Switzer	2001	brochure	IISD

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10	Armed Conflict and Natural Resources: The Case of the Minerals Sector		2001	report	unpublished paper
11	Bridges Trade BioRes			journal	IUCN
12	Seedling (Special Issue on Pastoral Life in Iran)	Rahmanian and Farvar	2003	journal	GRAIN
13	CEESP Update			journal	IUCN
14	Governance of Protected Areas: An Emerging Concept at the Vth World Parks Congress (Briefing Notes)	CEESP	2003	policy position	IUCN
15	World Alliance on Mobile Indigenous Peoples (WAMIP). Briefing Notes on Mobile Peoples and Conservation	CEESP	2003	policy position	IUCN
16	CEESP Occasional Paper no. 2: Tchimi Tchami: fierte de la cogestion	Chatelain, et al	2004	paper	IUCN
17	Euidad Entre Areas Protegidas y Comunidades Locales: Reflexion Desde Mesoamerica y Caribe	Coopesolidar, et al	2003	paper	IUCN
18	Local Communities, equity and conservation in Southern Africa: A synthesis of lessons learnt and recommendations from a Southern African technical workshop	Whande, et al	2003	workshop report	PLAAS, Africa Resources Trust and IUCN
19	Community Conserved Areas (CCAs) and co-managed protected areas (CMPAs) - toward equitable and effective conservation in the context of global change	Borrini-Feyerabend	2003	collection of papers	IUCN
20	Innovative Governance: Indigenous Peoples, Local Communities and Protected Areas	Jaireth and Smyth, eds	2003	book	IUCN
21	Parks 12, No. 2 on Local Communities and Protected Areas	Brown and Kothari, eds	2002	journal	IUCN
22	Community Conserved Areas: A Bold New Frontier for Conservation. Briefing Note, no. 3	CEESP	2004	policy position	IUCN

CEL	Title	Author	Date	Type	Publisher
1	Towards a "Second Generation" in Environmental Laws in the Asian and Pacific: Selected Trends	Lin-Heng and Manguiat	2003	paper	IUCN
2	Energy Law and Sustainable Development	Bradbrook and Ottinger	2003	paper	IUCN
3	An Explanatory Guide to the Cartagena Protocol on Biosafety	MacKenzie, et al.	2003	paper	IUCN
4	Legal and Institutional Frameworks for Sustainable Soils	Hannam and Boer	2002	paper	IUCN
5	Arctic Legal Regime for Environmental Protection	Nowlan	2002	paper	IUCN
6	Environmental Law in Developing Countries - Selected Issues	Islam et al	200?	paper	IUCN
7	The TRIPS Agreement. Sustainable Development and the Public Interest Discussion	Walker	2001	paper	IUCN
8	Flow - the essentials of environmental flows	Dyson, Bergkamp and Scanlon	2003	guide	IUCN
9	Toward a mutually supportive relationship between the Convention on Biological Diversity and the World Trade Organization - An Action Guide	Tarasofky	2002	guide	IUCN
10	Report of the International Expert Workshop of the Enforcement of Wildlife Trade Controls	Anton, et al	2001	guide	IUCN
11	ECOLEX		2003	online database	IUCN
12	Members Portal			online forum	IUCN
13	Judges Portal			online forum	IUCN
14	Capacity Building for Environmental Law in the Asia and Pacific Region: Approaches and Resources, Volume 1 and II	Craig, Robinson and Koh, eds.	2002	resources	Asia Development Bank
15	International Environmental Governance: An International Regime for Protected Areas	Scanlon and Burhenne-Guilmin	2004	paper	IUCN

CEM	Title	Author	Date	Type	Publisher
	1 Extractive Industries in Arid and Semi-Arid Zones: Environmental Planning and Management	Gratzfeld	2003	book	IUCN
	2 Using the Ecosystem Approach to Implement the Convention on Biological Diversity: Key Issues and Case Studies	Smith and Maltby	2003	book	IUCN
	3 IUCN Arctic Strategy	IUCN	2002	strategy	IUCN
	4 CEM Update		various	news/letter	IUCN
	5 Integrating Biodiversity Conservation and Sustainable Use: Lessons Learned from Ecological Networks	Bennett	2004	book	IUCN

SSC	Title	Author	Date	Type	Publisher
	1 2003 Red List of Threatened Species	SSC	2003	database	IUCN
	2 IUCN Red List Categories and Criteria	SSC	2003	guidelines	IUCN
	3 Guidelines for using the IUCN Red List Categories	SSC	2003	guidelines	IUCN
	4 The Red Book: The Extinction Crisis Face to Face	SSC	2002	book	IUCN
	5 Antelopes. Global Survey and Regional Action Plans Part 4 North Africa, Middle East and Asia	Malton and Kingswood	2001	action plan	IUCN
	6 Cycads: Status Survey and Conservation Action Plan	IUCN/SSC Cycad Specialist Group	2003	action plan	IUCN
	7 Dolphins, Porpoises and Whales 2002-2010 Conservation Action Plan for the World's Cetaceans	IUCN/SSC Cetacean Specialist Group	2003	action plan	IUCN
	8 Equids: Zebras, Asses and Horses: Status Survey and Conservation Action Plan	Moehlman and IUCN/SSC Equid Specialist Group	2002	action plan	IUCN
	9 Microchiropteran Bats: Global Status Survey and Conservation Action Plan	Hutson, et al	2001	action plan	IUCN
	10 African Elephant Status Report 2002: An update from the African Elephant Database	Blanc, et al	2002	paper	IUCN
	11 Turning the Tide: the eradication of invasive species. Proceedings of the International Conference on Eradication of Island Invasives	Veitch and Clout, eds	2002	paper	IUCN
	12 Guidance for CITES Scientific Authorities: Checklist to assist in making non-detriment findings for Appendix II exports	Rosser and Haywood	2002	manual	IUCN
	13 Polar Bears: Proceedings of the 13th Working Meeting of the IUCN/SSC Polar Bear Specialist Group	Lunn, et al, eds	2002	report	IUCN
	14 Links between Biodiversity Conservation, Livelihoods and Food Security: the sustainable use of wild species for meat	Mainka and Trivedi, eds	2002	paper	IUCN
	15 SSC Specialist Group Newsletters (various)	various	various	journal	IUCN
	16 CITES: A conservation tool. A guide to amending the Appendices of the Convention on International Trade in Endangered Species of Wild Fauna and Flora, Seventh Edition (Sixth Edition also available)	Rosser, Haywood and Harris, eds	2002	manual	IUCN

17	Developing a Method for Prioritising Sites for Freshwater Biodiversity Conservation	SSC	2002	workshop report	IUCN
18	Guidelines for using the IUCN Red List Categories at Regional Levels, Version 3.0	SSC	2003	guidelines	IUCN
19	IUCN Technical Guidelines on the Management of Ex Situ Populations for Conservation	SSC	2002	guidelines	IUCN
20	Species			journal	IUCN

WCPA	Title	Author	Date	Type	Publisher
1	WCPA Newsletters			newsletter	IUCN
2	The Development and Application of Ecological Networks	Bennet and Witt	2001	report	IUCN & ?
3	Vth World Parks Congress Recommendations	WCPA	2003	congress output	IUCN
4	Vth World Parks Congress Durban Accord	WCPA	2003	congress output	IUCN
5	Vth World Parks Congress Durban Action Plan	WCPA	2003	congress output	IUCN
6	Vth World Parks Congress Message to the CBD	WCPA	2003	congress output	IUCN
7	Vth World Parks Congress Emerging Issues	WCPA	2003	congress output	IUCN
8	Strategic Approach for Integrating Biodiversity in Development	DFID/IUCN	2001	report	IUCN, EC & DFID
9	Guiding Principles for Biodiversity in Development: Lessons from Field Projects	DFID/IUCN	2001	report	IUCN, EC & DFID
10	Biodiversity Briefs (20 brief papers)	various	2001	report	IUCN & DFID
11	Guidelines for the Management Planning for Protected Areas	Thomas and Middleton	2003	guidelines	IUCN
12	Management Guidelines for IUCN Category V Protected Areas and Protected Landscapes/Seascapes	Phillips	2003	guidelines	IUCN
13	Transboundary Protected Areas for Peace and Co-operation	Sandwith, et al	2001	guidelines	IUCN
14	Sustainable Tourism in Protected Areas: Guidelines for Planning and Management	Eagles, et al	2002	guidelines	IUCN
15	Guidelines for Tourism in Parks and Protected Areas of East Asia	Eagles, et al	2001	guidelines	IUCN
16	Guidelines for Financing Protected Areas in East Asia	Athanas, et al	2001	guidelines	IUCN
17	Implementation of an Exchange Programme for Protected Areas in East Asia	Hayes and Shutis	2001	guidelines	IUCN
18	Parks Magazine		various	journal	IUCN

Annex 7. Criteria for the Mapping of 109 Commission Knowledge Products

Criteria		Issues
1. Language	<ul style="list-style-type: none"> English, French, Spanish or other 	
2. Region	<ul style="list-style-type: none"> By region for which the product was produced – global if not specified 	
3. Theme	<ul style="list-style-type: none"> Education and Communication Environmental Law Ecosystem Management Environmental Economics Social Equity or Policy Species Survival Protected Areas Water Resources Wetlands Forests Marine and Coastal Arid Lands Agriculture Urban Areas Climate Change Biodiversity 	
4. IUCN Intersessional Programme 2005-2008	<ul style="list-style-type: none"> Mapped against each KRA 	
5. WSSD Plan of Implementation (see below)	<ul style="list-style-type: none"> Includes MDGs Includes WEHAB Includes Monterrey Declaration Includes Doha 	<p>There are 29 areas with which the work of IUCN potentially overlaps.</p> <p>The IUCN conservation agenda is more forward-looking than that of WSSD</p>

Application of the Criteria from the WSSD Plan of Implementation

Areas applicable to the work of IUCN, summarised from the text of the WSSD Plan of Implementation. Each paragraph (in brackets, refers to text in Plan) contains sub-clauses with additional detail.

II. Poverty Eradication

- Poverty eradication, sustainable development and local community development; promotion of women's access to decision-making; indigenous peoples; mitigating effects of desertification and drought (7)
- Clean drinking water (8)
- Access to reliable energy sources for sustainable development (9)

III. Changing unsustainable patterns of consumption and production

- Accelerating the shift toward sustainable consumption through the development of a 10 year plan to address, among other things, reducing resource degradation (15)
- Integrating production and consumption into sustainable development strategies, including PRSPs (17)
- Enhancing corporate social responsibility (18)

IV. Protecting and managing the natural resource base of economic and social development

- Safe drinking water (25)
- Sustainable water use (26)
- Improved water management and scientific understanding of the water cycle through monitoring and research (28)
- Sustainable development of oceans, seas and coastal areas (30)
- Sustainable fisheries (31)
- Conservation of oceans – especially biodiversity – includes Ramsar and CBD work programmes (32)
- Implement Global Programme of Action for the Protection of the Marine Environment from Land-based Activities (33)
- Protect marine environment from pollution, including alien invasives in ballast water (34)
- Scientific understanding of marine and coastal areas (36)
- Climate Change (38)
- Agriculture – poverty – gender nexus, including land tenure (40)
- Desertification (41)
- Mountains (42)
- Sustainable tourism (43)
- Biodiversity (44)
- Forests (45)
- Mining (46)

V. Sustainable development in a globalising world

- Globalisation in general

VIII. Sustainable development for Africa

- NEPAD (62) – security and governance, implementation of NEPAD, adaptation to climate change, afforestation
- Convention to combat desertification (63)
- Integrated water resources development – including river basin and watershed/ecosystem management (66)
- Agriculture, including land tenure reform (67)
- Sustainable tourism, including trans-boundary protected areas, CITES (70)

XI. Institutional framework for sustainable development

- Measures to strengthen institutional arrangements on sustainable development, including legal arrangements (139).