

# **REVIEW OF IUCN'S INFLUENCE ON POLICY**

**Phase I:**

**Describing The Policy Work of IUCN**

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## Acknowledgements

This first part of the Review of IUCN's Influence on Policy has been a daunting yet invigorating experience. It has been fascinating to get an insight into the scope of IUCN's policy work and the admirable level of policy expertise in the organisation. We worked with only a small portion of IUCN's policy initiatives, but leave the Review with a much greater appreciation of its achievements as well as of the challenges before it as it strives to achieve its mission.

The time for Phase I of the Review was limited. We had just more than two months of person-days to do the work, but we were fortunate that it was spread over a significantly longer period than these types of reviews normally allow. This enabled us to get the input of nearly every programme and key informant that we approached – an unusual occurrence in this type of study. We want to thank the many people both inside and outside IUCN who gave so generously of their time, including Council and Commission members, and current and past Secretariat Executive and senior staff. We are greatly indebted to all the informants listed in Annex 3.

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## Acronyms

3I-C	Innovation, Integration, Information and Communication Fund
AFLEG	African Forest Law Enforcement and Governance
ARO	Asia Regional Office
ARO ELG	Asia Regional Office Ecosystems and Livelihoods Group
BCIS	Biodiversity Conservation Information Service
BRAC	Regional Office for Central Africa
BRAO	Regional Office for West Africa
CBD	Convention on Biological Diversity
CBNRM	Community Based Natural Resource Management
CBO	Community Based Organisation
CCD	Convention to Combat Desertification
CCS	Species Survival Commission
CEC	Commission on Education and Communication
CEESP	Commission on Environment, Economics and Social Policy
CEFDHAC	Conference on the Ecosystems of Dense Rainforests of Central Africa
CEL	Commission on Environmental Law
CEM	Commission on Ecosystems Management
CI	Conservation International
CITES	Convention on the International Trade of Endangered Species
CMS	Convention on Migratory Species
COMIFAC	Conference of Ministers charged with Forests of Central Africa
COP	Conference of the Parties
CRM	Community Resource Management
CSD	Commission on Sustainable Development
EAP	Environment Action Plan
EARO	Regional Office for Eastern Africa
ELP	Environmental Law Programme
EMP	Ecosystem Management Programme
FCCC	Framework Convention on Climate Change
FCP	Forest Conservation Programme
FLR	Forest Landscape Restoration
GBF	Global Biodiversity Forum
GEF	Global Environment Facility
GMO	Genetically Modified Organism
GWP	Global Water Partnership
IDRC	International Development Research Centre
IFPRI	International Food Policy Research Institute
IGO	Inter-governmental Organisation
ITTO	International Tropical Timber Organisation
IUCN	World Conservation Union
KWS	Kenya Wildlife Society
MDG	Millennium Development Goal
MEA	Multilateral Environmental Agreement
MOU	Memorandum of Understanding
NEPAD	New Partnership for Africa's Development
NETCAB	Regional Networking and Capacity Building Programme
NGO	Non-governmental Organisation
NORAD	Norwegian Agency for Development Cooperation
NRM	Natural Resource Management
OECD	Organisation for Economic Cooperation Development
ORMA	Regional Office for Mesoamerica
PBIA	Policy, Biodiversity and International Agreements
PGCG	Policy and Global Change Group
PPG	Programme and Policy Group
PRSP	Poverty Reduction Strategy Paper
ROSA	Regional Office for Southern Africa
SADC	Southern Africa Development Community
SBSTTA	Subsidiary Body on Scientific, Technical and Technological Advice

SSC	Species Survival Commission
STRP	Sea Turtle Restoration Project
SUR	Regional Office for South America
TBNRM	Transboundary Natural Resource Management
TILCEPA	Theme on Indigenous and Local Communities, Equity and Protected Areas
TNC	The Nature Conservancy
UNCLOS	United Nations Convention on the Law of the Sea
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFF	United Nations Forum on Forests
UNGA	United Nations General Assembly
UWA	Uganda Wildlife Authority
WANI	Water and Nature Initiative
WCC	IUCN World Conservation Congress
WCPA	World Commission on Protected Areas
WESCANA	Regional Office for West/Central Asia and North Africa
WHC	World Heritage Convention
WRI	World Resource Institute
WSSD	World Summit on Sustainable Development
WWC	World Water Council
WWF	World Wildlife Fund

## Summary Report

### Overview

Influencing policy frameworks is one of the most powerful methods through which change can be effected in the world. It is therefore no surprise that a very large portion of IUCN's work during the past decades has been dedicated to influencing policy, initially mainly at global level and more recently also at regional, national and sub-national levels. Its unique comparative advantage has given it the capacity to be a leader in the conservation policy arena. It has fulfilled this role admirably over decades since its inception, leading conceptual thinking on conservation through seminal initiatives such as the *World Conservation Strategy* and *Caring for the Earth*; steering the evolution of conservation to include dimensions such as sustainable development and the sustainable use of biodiversity; guiding the development of many international agreements; and assisting with translating international policies into strategies at regional and national levels.

IUCN today remains very active in the policy arena, using its convening power, offering ideas and advice, facilitating debate and developing instruments and methods for policy implementation. The 2003 External Review of IUCN notes that "rapid growth, substantial achievements and a series of change processes have helped the Union to adjust to new challenges and an evolving world scene". It continues to make strong contributions to sustainable development and environmental governance.

But this Review has found that over the past decade the Union's profile as a leading influence in the conservation arena has been diminishing in a complex world driven by many competing forces, demands and priorities. It faces the threat of becoming marginalised in important areas at a time when its guidance is needed more than ever, unless it can reposition itself using its core expertise in biodiversity to work effectively in new domains impacting upon conservation, and can reach new audiences who are powerful forces in shaping the future of conservation in the world.

Stakeholders acknowledge the excellent work done by the Policy, Biodiversity and International Agreements (PBIA) unit in mobilising and coordinating IUCN's policy expertise to inform and support international policy initiatives, as well as the significant efforts by PBIA and the Policy and Global Change Group (PGCG) under guidance of the Director Global Programme to streamline frameworks and procedures for policy work. Yet in spite of this we have found many similarities between the current status of IUCN's policy work and the programming crisis of 1999. These similarities include fragmentation in planning and implementation, inadequately formulated desired results and theories of change, a lack of coherence across the system and insufficient focus on strategic leadership to shape and guide the policy work.

We believe that this situation is not the result of a lack of capacity or interest in IUCN, but rather the result of the very strenuous effort that was required to establish and implement the impressive IUCN Programme during the past four years, coupled to the effects of IUCN's regionalisation and decentralisation as well as the increased complexities in the policy arena in which IUCN has to operate. Yet if IUCN is to fulfil its mission, it will need to focus very strongly during the 2005-2008 Intersessional period on managing the internal change needed to address the challenges within as well as those posed by the external policy environment. IUCN will have to work purposefully to ensure its position as undisputed leader towards policy change for the good of conserving the earth's resources and biodiversity. Its admirable legacy, unique character and vital expertise demand no less.

## Purpose and Nature of the Review

Its move towards results-based management as well as an increasingly competitive and demanding environment, has led to pressure on IUCN to demonstrate the outcomes of its work and the impact it has on the world. The planning of its work in the 2005-2008 Intersessional period is now moving beyond the articulation of results to the identification of outcomes and impacts, providing programme managers with a “results chain” that can help them to evaluate and subsequently improve the outcomes and impact of their work.

As part of its focus on meeting its new challenges, IUCN aims to improve its grasp of policy work and the factors shaping it within and outside the organisation. This Review is thus part of a longer term vision aimed at improving the impact of IUCN's work in influencing policy around the world. Phase I, which has resulted in this report, is a description and examination of the main interventions and some key issues in the policy work of the Secretariat and Commissions. Exploratory in nature, it was designed to synthesise issues across the organisation rather than develop an in-depth understanding of the policy work in each programme. Instead of giving definitive and final answers, it raises issues for reflection and debate as IUCN plans its policy work for the next four years. Phase II on the other hand will be evaluative and will use a series of case studies to determine the effectiveness of selected key efforts of IUCN to influence policy.

Phase I has therefore concentrated on trying to understand the conceptualisation of IUCN's policy work, its planning approaches, the contextual and other factors shaping the policy work, the key policy initiatives, their intended outcomes and main mechanisms used for policy influence. It raises issues of coherence, method and direction, and makes some recommendations for consideration, using the inputs of more than 130 interviews conducted with 88 key people in and outside IUCN, as well as an extensive document review and consultation with relevant external and internal experts.

The focus in this study on the *improvement* of IUCN's policy influence obviously implies a greater focus on those aspects that need improvement than on what is working well. The Review findings should not detract in any way from the fact that IUCN has been doing very significant work in influencing policy over the past decade – but much can be improved.

## Findings

### *Direction and focus in IUCN's policy work*

Influencing policy is not a clearly delineated field of work in IUCN. Although more than half of the Secretariat and Commissions programmes<sup>1</sup> regard influencing policy as the major component of their work (more than a third indicate that they spend nearly all their time on policy related work), there is considerable confusion about IUCN's policy directions, priorities, methods and expectations. This situation is partly the result of the process of regionalisation and decentralisation, which although offering much broader scope for policy influence at regional, national and sub-national level, demands greater central coordination to ensure coherence and focus - something which IUCN has just recently started to address. The focus on the programming crisis of 1999 also shifted the spotlight away from IUCN's policy efforts, resulting in a lack of concerted effort and strategic focus in leading and directing the policy work, and clarifying priorities and approaches.

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<sup>1</sup> All Commissions' programmes of work were part of the Review, together with the component programmes of IUCN, and are thus included when the term “programmes” is used in this context.

IUCN has many dimensions and the reach and scope of its work never ceases to surprise. In fewer than 100 key policy initiatives, the Secretariat and Commissions are working to influence more than 60 specific policy targets as well as a large number of unspecified audiences. Two key factors in the increasing scope of IUCN's policy work are the proliferation of global agreements and the presence of regional and national offices. The majority of targets remain at global level, but regionalisation has shifted a significant part of the policy work to regional, national and sub-national levels, where it focuses strongly on helping to establish and review government frameworks, convene diverse stakeholders and build capacity among governments and civil society.

A significant number of programmes work on the same policy targets, but seldom in a coordinated way. There is little evidence of purposeful efforts by programmes to collaborate in influencing strategically identified policy targets and outcomes, leading to a perception that IUCN's policy work is "scattered, trying to be all things to all people". A notable exception is the Convention on Biological Diversity (CBD), which was mentioned by half of the responding programmes as one of their most important policy targets. There is general concern about the level of effort and resources spent on the CBD in the absence of a critical assessment of the effectiveness of its conceptual framework and implementation. Recent efforts by PBIA to provide guidelines and to coordinate and streamline the influencing processes linked to the CBD and other conventions have been timely, effective and are highly valued by those involved. It is a path of influence that informants agree works very well. Now more effort needs to go into a critical assessment of these agreements and conventions, in particular the CBD, to determine whether they are indeed the best vehicles through which to effect the changes that IUCN strives to make in the world.

### *Conceptual shifts*

The vast majority of the key policy initiatives of the Secretariat and Commissions remain in IUCN's "heartland" fields of expertise and focused on influencing its traditional conservation audiences. Around a quarter of programmes have experienced or noted shifts in the way in which policy work is conceptualised and done in IUCN. There is a stronger focus on governance and working with governments at all levels and increased targeting of non-conservation frameworks and audiences such as key Ministries in Planning and Finance, the private sector, influential frameworks outside the conservation sector, non-conservation networks influencing conservation, indigenous peoples, and others. The efforts to influence these "non-traditional" targets and audiences are growing, but still relatively small in scope. Programmes are also embracing new approaches to conservation that integrate environment and development ("conservation for the people"), focus on service and market-based approaches, and/or include social, economic and legal issues in a cross-cutting manner. Again these approaches remain limited in scope, but are receiving growing attention.

Several factors have brought about these shifts. IUCN's presence in the regions has improved its understanding of realities on the ground. The focus on poverty reduction in development efforts has highlighted the need to make a stronger case for environmental management as part of poverty reduction strategies. There is a growing awareness of the need to reach new audiences who exert a powerful influence on conservation. External trends such as changes in donor funding and the devolution of power to local authorities have also served as driving forces for changing priorities and approaches.

Around a third of programmes have been experiencing a gradual evolution to more, and more strategic and systematic, policy work. More programmes are realising the importance of influencing policy to bring about change. IUCN's increasing profile and credibility in the regions are enhancing their role in supporting governments and convening diverse stakeholders. Internal factors in IUCN are also playing a role, including the improved

Intersessional programme, better relations between Secretariat components, the use of strategic reviews and the increasing focus on policy work promoted by IUCN's leadership.

#### *Planning for policy influence*

The growing realisation among programmes of the importance of influencing policy to achieve maximum change with limited resources has increased their desire for clarity on direction and method. There is overwhelming support for more purposeful and explicit planning of policy work, as well as a general acknowledgement of the importance of remaining flexible in order to grasp opportunities offered by opening policy windows.

However perceptions among those leading planning processes are that they are weak. This is confirmed by other findings. There are very few systems in place to track or help assess the policy influence of individual programmes or of IUCN overall and thus only very informal feedback loops which can help to improve policy work. Few programmes use systematic scoping and analysis of the external environment in which they operate, although the extensive internal and external expertise available to IUCN is occasionally mobilised for this purpose, albeit in a somewhat ad hoc manner.

#### *Linking policy and practice*

Another critical weakness exists in the important area of linking policy and practice, raising concerns about IUCN's capacity and commitment to making the most of its unique comparative advantage. Programmes confirm that their mechanisms to obtain and synthesise information to reach policy conclusions are weak, especially when taking findings from project to policy, from country to regional and from regional to global level (and vice versa). Few programmes have developed case studies with policy objectives in mind, or have designed project frameworks to test hypotheses. Programmes most frequently link their practice to policy through sharing of experiences and lessons, usually holding meetings between project and programme staff and sometimes including external stakeholders, but a significant number of programmes do not follow this up with systematic documentation, synthesis and use of the results. The implementation of this important mechanism is therefore considered to be weak, often failing in systematically translating practice to useful policy input.

#### *Factors facilitating and inhibiting policy work in IUCN*

The credibility and importance of the findings noted above are confirmed by the programme informants' own analysis of obstacles to effective policy influence. A very small portion of factors were related to external contexts; most were to do with internal dynamics, in particular the lack of capacity in policy work; the lack of clarity on policy roles and processes; the tendency to work in silos; the sense of inadequate technical expertise in areas which traditionally have not been well represented in IUCN, yet which now require attention; and concern that divergent views within the Union on policy engagement with "non-traditional" audiences such as the private sector are impeding its movement into important new domains.

The most frequently mentioned obstacle to effective policy work in the Secretariat and Commissions was the lack of financial resources, yet increased funding was not, according to programme informants, the most popular intervention strategy. Instead, informants suggested improved policy planning through provision of a clearer vision and focus for policy work, better plans and planning processes, and more systematic intelligence. Other frequently mentioned interventions also correlate very well with the Review findings – improving general policy expertise as well as specific technical capacities needed to influence policy; more integration and coherence across IUCN; greater capacity and leadership in new domains

in which IUCN has to work; improved institutional systems; and stronger partnerships, alliances and relationships<sup>2</sup>.

Factors that have facilitated the policy work of the Secretariat and Commissions also confirm some of the Review findings as well as the significance of IUCN's comparative advantage. Most useful assets were its capacity to produce and apply appropriate and timely technical knowledge; its credibility; its partnerships and alliances; and the commitment of its staff and volunteer networks. Factors such as effective planning and collaboration (in some cases); its agility and capacity to grasp opportunities, the availability of financial resources; and the freedom to experiment also aided policy work.

#### *Issue / purpose-driven versus event-driven approaches*

Another issue requiring attention is the role that events play in policy influence efforts. A very considerable portion of IUCN's time and resources goes into the convening of events that stimulate networking and serve as platforms to bring diverse groups together towards a common goal. This convening function is central to IUCN's operation and has been remarkably successful in building its visibility and credibility among diverse constituencies. IUCN also participates in many events organised by others, such as COPs and other meetings which serve as forums for policy planning and influence at global, regional and national levels.

While the importance of events in the work of IUCN cannot be disputed, there is a distinct risk that the organisation can be driven by events rather than by purpose or issue, and that it can convene, facilitate and participate in events without necessarily providing leadership. It tends to neglect systematic follow-up activities that can form part of strategic directions for policy work. Thus while policy related events have increased substantially over the past decade, it is not clear whether IUCN has a *longer-term, strategic, issue-driven* approach that justifies the very substantial time and resources spent on some of these events, or a grasp of the price of being diverted from other important priorities for significant periods of time.

#### *Institutional systems underpinning policy work in IUCN*

The Review did not include a focus on the institutional systems governing, managing and facilitating policy work in IUCN, but certain weaknesses were noted. There is inadequate articulation between the different parts of the Union carrying responsibility for setting and executing IUCN policy. In particular, in view of the large number of Resolutions and the need for clarity on policy positions and priorities, Council's role versus that of the Secretariat needs to be clarified and processes streamlined in practice. There is also still a perceived disconnect between those programmes and bodies specifically responsible for policy, and the rest of the programmes, in spite of some recent improvements in this regard through the work of PBIA and PGCG. Some notion still remains that there is an "exclusive" group who does policy work while others feel excluded from this role.

An important challenge lies in optimising the obvious synergies and complementary expertise and experiences between the Regional Programmes, Commissions and the coordinating and guiding policy groups at Headquarters. Furthermore, the role of Corporate Strategies (or Global Strategies in the new management structure) as well as that of the cross-cutting functions such as social policy, economics and gender needs clarification. Findings have also shown that Commissions have played important roles in influencing policy, but the extent to which their structures and management systems interface with the Secretariat to optimise the use of this important resource, is unclear. The "One Programme" approach demands that

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<sup>2</sup> Examining this aspect was to be an important focus for the Review, but could not be explored in any depth due to lack of systematic data – a weakness in the data collection process.

urgent attention be given to this aspect. Similarly, systems facilitating the mobilisation of Members' policy expertise and political power in the policy arena require further study and attention. The Review notes that the recently adopted IUCN Membership Strategy also highlights this need.

#### *Vertical integration*

This Review has confirmed that disconnects still exist between those groups responsible for policy coordination at global level and the Regional Programmes. With the exception of a few thematic areas, regional and global programmes usually do not plan together, monitor and ensure action to influence a specific set of policy targets towards common outcomes over an extended period.

More importantly perhaps, as IUCN seeks to find its most effective footprint in relevant regions and countries, the real strength and expertise of the Union as a global organisation has not yet been brought to bear on its positioning at regional and national levels. Regional programmes have been shown to be somewhat more responsive than proactive in their approach to policy influence. A rigid approach which does not allow programmes to take advantage of opening policy windows would be counter-productive. On the other hand more systematic work with governments is needed, especially at national level where IUCN can do much more to make use of its unique comparative advantage as global organisation with local presence across the world. Its extensive expertise at regional and global levels can be brought to bear much more thoughtfully and effectively at national level where more concerted impact is needed. Its national *and* global experts can in turn be mobilised to inform regional trans-boundary work.

This is *the* key asset of IUCN which gives it a comparative advantage beyond anything that other organisations can mobilise at national or regional level. It has to be used to its full potential.

#### *IUCN and the policy cycle*

While Phase I of the Review did not set out to develop a detailed model of the policy cycle, it was found to be a useful model for illumination of IUCN's approach to its policy work and in developing a framework for IUCN's policy influence efforts. Programmes have different emphases on the policy cycle, but tend to work mainly at the front end, helping to set agendas and develop policy frameworks. This focus is driven by the need to influence policy-making as early in the cycle as possible, by its capacity to generate new ideas, its comparative advantage in convening, networking and providing technical advice and by its traditional strengths in fact-finding, collating and publishing. Programmes furthermore support policy implementation mainly through the provision of tools and guidance and the building of capacity.

Very limited work is done at the back end of the cycle, severely limiting IUCN's opportunity to be a critical commentator on the effectiveness of policies and to effect change through monitoring, evaluation and review. This Review considers this area to be a major opportunity for future policy work. IUCN is very well positioned with a decentralised structure to assess the effectiveness of the implementation of policies at regional, national and local levels. This is a major comparative advantage that few other policy organisations and 'think tanks' have in the conservation arena.

#### *Theories of change for policy influence*

As can be expected, there is a strong link between the mechanisms and intended outcomes of policy work, and the IUCN Programme. Many of the Programme results, especially but not

exclusively in Key Result Area 4 relates directly or indirectly to policy influence. In essence the IUCN Programme is a framework for IUCN's policy work, and any effort to establish new policy goals and streamline theories of change has to recognise this. On the other hand, as the 2003 External Review of IUCN points out, the Programme provides a broad framework that is "permissive rather than directive", and more work is needed to bring focus to policy influence efforts. The Programme itself is also not explicit enough in articulating theories of change for each Key Result Area, nor is it clear on how it intends to influence major global development initiatives such as the Millennium Development Goals.

The key mechanisms used by the programmes to influence policy are in line with IUCN Programme expectations. Thirteen of the 14 main categories of mechanisms used to influence policy can be grouped to reflect IUCN's Knowledge, Empowerment and Governance (K-E-G) strategy, while one focuses on positioning IUCN in the policy arena. The mechanisms used most frequently to influence policy emphasise the importance of IUCN's comparative advantage - providing technical advice, mobilising and synthesising knowledge from different sources, convening stakeholders and using networks.

The intended programme outcomes are also clearly linked to the K-E-G strategy and as noted above, broadly reflect results under the KRAs. When the intended programme outcomes are synthesised into a set of outcomes pursued by the Secretariat and Commissions, their broad nature becomes apparent. Coupled to the many diverse policy targets pursued by each programme, they present a picture of work of tremendous scope, yet unfocused in what it is trying to do and unclear about the best strategies to bring about desired change.

This situation highlights the necessity to have a symbiotic approach between those responsible for directing and guiding IUCN's policy work, and those leading and implementing the IUCN Programme. For successful policy work it will be crucial to have a *close, strategic* collaboration between the stakeholders such as PBIA, PGCG and PPG, with the work of the one supporting and influencing the other under the guidance of the Director Global Programme.

## **Recommendations**

IUCN's policy work and the contexts within which policy targets are to be influenced are multi-dimensional and complex. We make our recommendations based on our findings in this Review while being cognisant of the fact that there are many layers of IUCN's policy work which this short phase in the Review have not uncovered, and with which IUCN's own staff and volunteer networks might be more familiar. Our recommendations have therefore been developed to sensitise IUCN to critical issues for the future, to stimulate reflection about the best possible approaches to policy and to persuade IUCN to take a more strategic focus to policy work in the 2005-2008 Intersessional period, similar to the focus on the IUCN Programme during the past Intersessional period.

**In general we recommend that IUCN use the 2005-2008 Intersessional period to focus and streamline its policy work and manage the strategic change needed for a more extended and effective leadership role in the policy arena towards fulfilment of its mission.**

More specifically with respect to the following, we recommend:

### *Strategy and Approach*

1. That in the 2005-2008 Intersessional period IUCN aims to move dynamically and strategically into those critical policy domains which are proven to impact forcefully on conservation, directing its efforts to important "non-traditional" audiences and key

players that may include non-conservation government bodies, the private sector, multilateral institutions and non-conservation networks.

2. That IUCN in this process focuses on deploying its “heartland” expertise strategically to influence these new policy domains, building the necessary internal capacities as well as partnerships and alliances for long-term engagement in critical areas.
3. That IUCN increases its impact by focusing its policy work, and considers to what extent it can do this through (i) development of a purposeful organisational and programme theories of change based on systematic intelligence and situation analysis; (ii) identification of key “policy levers” (powerful frameworks, processes, forums, audiences or champions essential to the changes IUCN wants to bring about towards its mission) and (iii) concerted teamwork, including joint planning *from the beginning* between programmes, IUCN components and other partners in order to influence a particular “policy lever” or set of policy levers over time; monitoring; and ensuring progress towards common goals.
4. That IUCN re-considers its emphasis on the CBD as part of a more critical approach to the global policy regime for conservation through greater involvement in policy monitoring, evaluation and review of conventions and their implementation at regional and national levels.
5. That IUCN explores how its theories of change are aligned with, or could be aligned with, powerful global agendas and action plans for change.
6. That IUCN pays more strategic attention to vertical integration aimed at strengthening its policy influence, with the specific objectives to (i) improve joint planning and targeting of “policy levers” between programmes and within programmes working on a similar theme or biome; (ii) use global and national expertise to inform regional trans-boundary work; and (iii) bring its global expertise and reputation more effectively to bear to support proactive and systematic work with governments at national level.
7. That IUCN develops an approach that uses events as instruments for change only when they are an essential part of purposeful, longer-term, priority strategies to influence policy, in other words, events should become instruments or steps in purpose-driven strategies for policy influence.
8. That IUCN develops strategies to ensure optimal use of events, among others through planning and management of processes that promote follow-up and strengthening of its leadership role.

#### *Governance, leadership and management*

9. That IUCN strengthens its policy profile, leadership and focus through consultation with a high level advisory panel consisting of external policy experts well versed in the current complexities in the conservation policy arena; or the appointment of a distinguished policy expert who can regularly advise and guide IUCN's overall policy directions and champion its policy work.
10. That the Director Global Programme, the PPG and the PGCG work purposefully during the 2005-2008 Intersessional period to shape IUCN's strategy for greater focus and impact in its policy work, as was done with the IUCN Programme during the last Intersessional period.

11. That a review of the institutional systems underpinning IUCN's policy work be conducted to ensure that they support effective governance, management and operation of IUCN's policy work, and that its comparative advantage is fully used in the process.
12. That IUCN considers the implications of the shifts in conceptualisation of its policy work for its change management strategies, in particular its human resources strategy, its engagement of Members and its mobilisation of Commission members and structures.

#### *Resourcing – funding*

13. That IUCN considers adjusting its funding model in line with the 2003 External Review recommendations to mobilise funding for more concerted and strategic policy work.

#### *Moving towards integration and synthesis*

14. That IUCN explores the possibility of expanding its Secretariat capacity to play an integrating and synthesising role using Members' fieldwork, rather than moving even further towards becoming an organisation implementing projects at field level in competition with its Members. This means that its (limited) footprint in the field should be directly aligned with and inform its policy work.

#### *Strengthening IUCN's policy capacity*

15. That IUCN adopts a strategy to strengthen its capacity across the Secretariat and Commissions' programmes in at least five areas: (i) understanding of general concepts, models and mechanisms for policy influence; (ii) understanding and streamlining of its own approaches to policy work; (iii) nurturing of policy entrepreneurship, advocacy and synthesis; (iv) policy planning, monitoring and evaluation; and (v) developing appropriate policy expertise to work in interface with new domains.

Specific attention can be paid to the following:

- Exposing IUCN Secretariat and Commissions to general theories, models and experiences related to policy influence, illustrated by case studies from IUCN's long history of policy involvement and by connecting to external research on policy influence effectiveness;
- Engaging in developing a clear policy framework (as an integral part of the Programme) similar to what was done for the IUCN Programme – and ensuring wide dissemination and buy-in from key players across the organisation;
- Strengthening policy planning processes to be systematic and include consultation with IUCN Members;
- Developing plans for policy influence based on robust theories of change, yet using adaptive management with the flexibility to take into account changing contexts and opening policy windows;
- Establishing self-reflection and feedback mechanisms through which IUCN's effectiveness in influencing policy can be assessed and used for improved policy work;
- Exploring the implications of IUCN's strong focus on policy, and its mainstreaming across the organisation, for the appointment and deployment

of human resources and for the effective mobilisation of such expertise by the Commissions.

13. That the case studies selected in Phase II to determine the effectiveness of IUCN's policy influence, at the same time be used to provide deeper insight into specific critical issues that can help to improve IUCN's policy work.

### **Moving into Phase II**

Phase II of the Review will focus on assessing the effectiveness of IUCN's policy influence through the use of selected case studies. We also propose that the set of case studies should dissect and illuminate specific aspects of IUCN's policy work. We have therefore not developed a set of criteria for selection of case studies, but rather aspects that need more careful study (i-viii below) from which examples can be selected to demonstrate that specific aspect. One particular case study can be used to demonstrate more than one of these aspects.

We furthermore propose that at least two aspects are investigated as *integral parts of all* case studies, namely

- The generation, synthesis and flow of knowledge into, within and out of IUCN;
- The role of relationships, alliances and partnerships within, and with parties outside, IUCN.

Based on our Review observations those aspects of IUCN's policy work that we believe warrant closer attention are given in order of priority from i to viii below, from the most to the least critical:

- i. The conceptual approaches and strategies used to link policy influence and practice;
- ii. Work based on vertical integration, for example within a specific biome where cascading collaboration is promoted from global to regional to national level and vice versa (e.g. the Green Thread approach);
- iii. Collaborative efforts aimed at optimising the potential presented by the unique structure of IUCN – component programmes, Members and Commissions - focusing on the value and dynamics of such partnerships;
- iv. IUCN's movement into “non-traditional” domains, for example trade;
- v. Interaction with new audiences necessitated by changing societal, economic and/or political dynamics such as
  - the private sector or networks that include powerful private sector actors
  - increasingly powerful arms of government affecting the environment, for example Finance and Planning Ministries, Trade and Industry, etc.;
  - the decentralisation / devolution of power to local authorities;
  - powerful multilateral agencies, e.g. The World Bank;
  - increasing civil society and other “non-traditional” stakeholder involvement in policy-making;
- vi. Work done to influence national policy and strategy in a changing political, social and economic environment at national level (Uganda will be a useful example).
- vii. The difference between purpose/issue-driven and event-driven approaches to influencing global or regional policies;

- viii. Work on a specific policy target by different IUCN components over a significant period (not necessarily in collaborative mode) to determine how they have supported (or detracted from) one another.

We also recommend that case studies be selected *mainly* where policy influence efforts are perceived to have succeeded, but in some cases also where they might have failed. Important lessons can be learnt from both types of experience.



## 1. INTRODUCTION

### 1.1. Rationale for the Review

Results-based management as well as an increasingly competitive and demanding environment has led to pressure on IUCN to demonstrate the outcomes of its work and the impact it has on the world. A major part of its work is in the policy arena and it is becoming progressively more important for IUCN to improve its ability to influence policy in line with the changes it aims to bring about in the world.

Despite the significant focus of IUCN's work on policy, the majority of contractually required evaluations in IUCN concentrate at the request of donors on the effectiveness and efficiency of project and programme outputs. Few look at the effect of these projects or programmes on policy. A recent content analysis of evaluations reveals that projects often lack a policy framework in their design and implementation. It remains unclear to what extent IUCN makes use of its ability to connect field experiences to policy, or whether its strategies are leading to the intended (and desirable) policy outcomes.

In putting an evaluation system in place over the past five years, IUCN initially found major limitations in its planning system that constrained the ability to evaluate the influence and impact of IUCN's work. A recent assessment of work plans indicates that they are improving in terms of clarity of results, and that improved situation analyses undertaken by most component programmes provide the basis for evaluating the relevance of IUCN's work against the bigger picture of the world in which they operate.

The 2003 External Review urged IUCN to move to monitoring and evaluating outcomes now that the planning system has improved. Planning of its work over the next Intersessional period will thus move beyond the articulation of results to the identification of users of these products and services, and the intended outcomes (changes in behaviour at individual level and institutional level) and impacts (changes in state and condition). This should provide programme managers with a clear "results chain" to evaluate the outcomes and impacts of their work, and to articulate more clearly the theory of change behind the results chain.

Several pilot initiatives to determine outcomes have already been undertaken, such as the SSC CITES Evaluations which aimed to assess the influence of SSC'S technical analyses to the CITES COP, and the Knowledge Products and Services Study which as part of the 2004 Review of Commissions assessed the influence of a selected set of IUCN's publications and services. Evaluating the influence of IUCN's policy work will be an important step towards determining outcomes and eventually the impact of its work on the state and condition of people and ecosystems.

### 1.2. Outline of the Review

The Review is part of a longer term vision guiding IUCN's intent to improve the effectiveness of its policy work. Three progressive stages of evaluation towards achieving this vision have been identified, each encompassing a broader reach than the previous one.

The first stage focuses on determining the influence of selected parts of IUCN's policy work at global, trans-national, national and municipal or local level. The second stage will focus, in

### Box 1: The Review of IUCN's Influence on Policy

#### Aim of the Review

To help IUCN improve its policy influence towards the achievement of its mission

#### Phase I (concluded)

##### *Nature of the phase*

Exploratory; descriptive of past and current situations and approaches in order to learn lessons that can inform future policy influence interventions; aimed at synthesis of issues across Secretariat and Commissions rather than understanding individual programmes' policy work

##### *Objectives*

To build a picture of recent work by the IUCN Secretariat and Commissions to influence policy, including the drivers, perceptions, approaches and mechanisms shaping the work

To raise issues for reflection and debate in order to inform IUCN's change management strategies for the future

##### *Guiding questions*

- What is IUCN doing to influence policy?
- Why is IUCN working to influence policy?
- How is IUCN going about influencing policy?
- What is IUCN aiming to achieve through its policy influence efforts?

##### *Specific aspects studied*

Conceptualisation and planning approaches; contextual factors and other drivers shaping the policy work; key policy initiatives; intended outcomes; main mechanisms used; relevance to policy influence frameworks

#### Phase II

##### *Nature of the phase*

Evaluative; based on a set of selected case studies of IUCN's efforts to influence policy

##### *Objectives*

To determine the effectiveness of IUCN's work in influencing selected policy making processes towards the achievement of its mission

To develop and learn from an in-depth understanding of the approaches, strategies and methods used by IUCN to influence policy

##### *Guiding questions*

To be determined

partnership with others, on determining the effectiveness of existing M&E measures to track policy implementation and accountability to policy stakeholders. The third stage will also need partnership with others and will focus on determining the effectiveness and appropriateness of existing policy instruments to effect the changes IUCN wants to see in the world.

The first stage, the Review of IUCN's Influence on Policy, is now in progress and is being conducted in two distinct phases (Box 1). Phase I, a description of the policy work of IUCN, has been concluded and the results provided in this report. This will be followed by Phase II, which will focus on the influence that IUCN's policy work has had in selected cases.

The Terms of Reference for Phase I are attached as Annex 1.

### 1.3. The approach in Phase I

There was no precedent for the work in Phase I of the Review and the approach was therefore exploratory. A guiding framework (Table 1; further elaborated in Annex 2) was developed to provide insight into

- the nature of the work that IUCN is doing to influence policy;
- the factors that drive and shape the policy work;
- the external changes that IUCN wants to achieve through its policy work and the manner in which it is pursuing these changes; and
- the cohesion between the type of policy work, the mechanisms or strategies employed and the intended outcomes.

The Review team constructed a picture of IUCN's policy influence work but did not aim to provide a "high resolution" map of all its efforts to influence policy. IUCN is a large and complex organisation which at any given time has many ongoing initiatives with the potential to influence policy making processes. With limited resources for the first phase of the Review, methods had to be found to focus the work on the most important policy initiatives and on those key issues which could best illuminate IUCN's policy work for reflection in each programme.

The potentially wide scope of work for Phase I was limited through the following:

- Only the policy work of the Secretariat and Commissions was included as the components of the Union benefitting from IUCN's core funding.
- The identification of key policy initiatives and the description of (r)evolutions in policy work were done for the period 1997-2004 (two Intersessional periods), while the rest of the data collection focused only on the 2001-2004 Intersessional period.
- The number of policy initiatives recorded for the Review was limited to the four initiatives regarded by programme informants as the most important in terms of (i) level of effort over time, and/or (ii) perceived influence on policy.

Table 1: Framework that guided Phase 1 of the Review

THE NATURE OF THE POLICY WORK  (What?)	FACTORS DRIVING AND SHAPING THE POLICY WORK  (Why?)	MECHANISMS FOR POLICY INFLUENCE  (How?)	INTENDED OUTCOMES  (What does it want to achieve?)
<ul style="list-style-type: none"> <li>▪ Setting policy boundaries</li> <li>▪ Policy emphasis in programme</li> <li>▪ Key initiatives undertaken</li> <li>▪ Role in the policy cycle</li> <li>▪ Partnerships and alliances (not completed)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Motivation to do policy work</li> <li>▪ Drivers of (r)evolutions in the policy work</li> <li>▪ Factors facilitating and inhibiting the policy work</li> <li>▪ Planning approaches for influencing policy</li> <li>▪ Basis for policy conclusions</li> <li>▪ Rationale for intended policy outcomes</li> </ul>	<ul style="list-style-type: none"> <li>▪ Mechanisms and strategies to influence policy</li> <li>▪ Mechanisms to link policy and practice</li> </ul>	<ul style="list-style-type: none"> <li>▪ Intended outcomes of the policy work</li> <li>▪ Tracking policy influence</li> </ul>

- Data were collected and consolidated per component programme of IUCN. Country level programmes were consulted only where this was recommended by key programme informants due to the scope of the policy work in the region.

The approach was further underpinned by two important premises:

- Past and present programme managers as well as Secretariat and Commission leaders would be the best sources of information on the approaches, methods and key initiatives of the policy work in IUCN.
- Allowing senior programme staff to identify up to four “most important” policy initiatives per programme would capture the key policy initiatives through which IUCN has been trying to exert policy influence over the past two Intersessional periods.

The point of departure was therefore that the perspectives of senior programme staff would provide richer information, more reflective of reality, than building a picture based mainly on programme documentation. Where possible, documents were extensively used to validate interview information.

One of the challenges for the Review team was to develop a working definition of policy (Box 2) that could help to frame the work in Phase 1 but would not set inappropriate boundaries for data collection.

Phase I of the Review did *not* attempt to:

- provide a comprehensive map of all the policy work of the Secretariat and Commissions;
- assess the institutional structures and processes supporting policy work in IUCN, which although important was considered to be outside the scope of the Review;
- analyse IUCN's policy positions and statements, except where they were specifically used in external policy influence efforts;
- identify IUCN's policy audiences, in other words those key stakeholders that it is trying to influence.

The latter is an important issue, as policy influence is often about influencing the most influential decision- and policy-makers, and other influential stakeholder groups. Data collection for the Review was not specific enough to provide answers. The Review also did not obtain adequate data on the relationships, partnerships and alliances that IUCN has formed to facilitate its policy work. Both these important aspects could be a focus for a future study.

**Box 2: Working definition of “policy” used in the Review**

A framework for action selected from among alternatives to guide governance and management,

- focused at global, trans-national, national or local level;
- formulated through a set of processes involving the participation of diverse stakeholders who have discussed alternatives and have given input into choices to be made;
- sanctioned by a legitimate authority, in particular national, provincial and local government, traditional authorities, influential organisations, or consortia of influential organisations and/or governments.

#### 1.4. Methodology for Phase I

The descriptive nature of the Review and the approach explained in section 1.3 dictated the methods used to inform and validate the findings:

- i) Interviews with senior past and present programme staff. They provided information for each of the programmes.
- ii) Interviews with individuals from within and outside IUCN who as key informants could provide additional perspectives on issues covered in the Review framework.
- iii) Document analysis, which provided additional information and helped to validate interview perspectives.
- iv) Consultation with policy experts in IUCN as well as external advisors with experience in assessing efforts to influence policy.

The use of several methods of data collection assisted with triangulation (providing cross-checks from one data source to another), and in most cases more than one person was interviewed to develop the report for a particular programme. Triangulation had its limitations as not all information provided by programme and key informants could be cross-checked. Consultative meetings with management groupings in IUCN can be used to help test the findings.

Information was collected per component programme, which included the components of the IUCN Programme and the Commissions<sup>3</sup>. Responses linked to a specific programme were consolidated into one programme report, and comments and information from the document analysis added where appropriate. In most cases the programme informants checked the reports for accuracy. These reports provided the basis for the subsequent data analysis. Several of the programmes' initiative data remain incomplete due to a lack of time, incomplete documentation or inaccessibility of some staff during the Review period.

The relevant programmes are listed per programme group in Annex 3. They were divided into several groups to detect and analyse trends across and within these groups. Two Regional programmes, for WESCANA and Canada, and the new Global Policy programme were not included. Due to its size and complexity, Asia is the only region with a consolidated programme report supported by several regional thematic and country programme reports.

Around 130 interviews were conducted with 88 informants (Annex 4). While key informants were interviewed once, a significant number of programme informants were interviewed twice or more to obtain additional information and do cross-checks.

The interview instruments are provided in Annex 5. An open-ended approach was used to allow information to flow spontaneously even though this method complicated the data analysis. A special effort had to be made to clarify concepts and terms during interviews. A guide was developed to bring synergy to the Review team's data collection efforts and to define critical terms and concepts used in the Review.

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<sup>3</sup> For ease of use, we employed the term "programmes" for both Secretariat and Commissions while recognising that until recently the Commissions' programmes of work were not part of the component programmes of IUCN. The Joint Global Thematic Programmes and Commissions programmes of work were included as follows: The Species Programme and Species Survival Commission (SSC), Protected Areas Programme and World Commission on Protected Areas (WCPA), Environmental Law Centre-Bonn and the Commission on Environmental Law (CEL), Ecosystem Management Programme and Commission on Ecosystem Management (CEM). The Commission on Environmental, Economic and Social Policy (CEESP) and the Commission on Education and Communication (CEC) do not have Secretariat Programme counterparts, although each has a Secretariat focal point.

*i) Programme informant interviews*

Preliminary interviews were conducted with a select sample of Programme Heads and Coordinators to introduce and test the Review concept, collect basic information and help develop the interview instrument. Afterwards more than 100 semi-structured telephonic and face to face interviews were conducted with 70 programme informants. Purposive sampling was used to interview senior programme staff, Commission Chairs and Regional Directors. Snowball sampling was employed to identify and consult other current or past Secretariat staff and senior Commission members.

The set of questions was made available to informants before interviews. Several preferred to respond by email. In two cases (ARO Nepal and ARO Lao PDR) the informants responded to a limited set of questions.

*ii) Key informant interviews*

In order to obtain perspectives on key issues from informants not linked to specific programmes, 18 semi-structured face to face and telephonic interviews were conducted with respected individuals familiar with IUCN and its activities in the policy arena. Key informants included previous and current members of the Council and Executive, Commission leaders, experienced IUCN managers and partner representatives. The sample was purposive based on recommendations by senior Secretariat staff and some of the key informants.

*iii) Document analysis*

The interview information was enhanced by an extensive document review (Annex 6):

a) A series of programme related documents were reviewed to complement interview information, including the IUCN 2001-2004 and 2005-2008 Intersessional Programme frameworks, Commission strategic plans and reports to Congress, component programme plans, annual work plans and IUCN Progress and Assessment Reports. Programme informants often referred the Review team to specific documents.

b) The IUCN as well as individual component programme and Commission websites were used as a source of documents and information on past and ongoing activities.

c) A literature review was done to learn from relevant work in other organisations, specifically to look at models for policy influence that have been developed over the past decades. Of particular interest were recent studies conducted by the International Development Research Centre (IDRC) and the Overseas Development Institute (ODI) of the impact of their programme work on policy.

*iv) Consultative meetings*

Before launching the Review, input on its focus and structure was obtained at meetings with the IUCN Policy and Global Change Group (PGCG) and with representatives of the Universal Management Group and the IDRC in Canada.

After data collection and analysis a draft report was submitted and discussed at a meeting with a small group of IUCN, IDRC and Universal Management Group representatives with a variety of experiences in, and perspectives on, policy influence work. The process of consultation will continue in IUCN to help validate findings and dissect conclusions.

A list of Phase I Findings is given in Annex 7 and the list of key policy initiatives in Annex 8.

## 2. A BRIEF HISTORY OF IUCN'S POLICY WORK

IUCN has almost since its inception been particularly well positioned to play a role in the conservation policy arena. Its role in influencing policy has been especially evident from the early seventies to the early nineties. Its expert networks, its reach through a diverse membership spread around the world which bridge the different worlds of NGOs and governments, its focus on facilitating and supporting rather than "beating a specific drum", the credibility that it has built up through its expertise over the years - all these and more have provided IUCN with an excellent opportunity to influence policy forums, instruments and processes in a variety of ways.

### *The seventies - leadership in the global conservation arena*

In the early seventies realisation of the effects of environmental degradation prompted vigorous activity in the environmental policy arena around the world. Powerful multilateral agencies included environmental components in their programmes, while invigorated government departments launched studies, established environmental laws, set up governmental and intergovernmental task forces and committees, and released reports on the state of the environment.

During this period IUCN focused its policy influence efforts on the international policy arena. At the catalytic *UN Conference on the Human Environment* held in Stockholm in 1972, developed and developing countries initiated a dialogue on the need to connect the interests of conservation and development. IUCN staff and members played prominent roles in the preparatory process and at the conference, contributing papers, acting as consultants, chairing pre-conference meetings and working with the conference secretariat to prepare documents. The conference stimulated the adoption of new international and national environmental laws, and helped create a milieu where the environment was brought nearer to the top of environmental agendas.

IUCN was also a leading body in several subsequent initiatives to establish and draft international agreements, viz. the *Ramsar Convention* (1971), the *World Heritage Convention* (1972), the *Convention on International Trade in Endangered Species of Wild Fauna and Flora* (CITES - 1973) and the *Convention on the Conservation of Migratory Species of Wild Animals* (CMS - 1979).

During this period IUCN became widely recognised as a leading agency for addressing the conservation element of the global environmental agenda<sup>4</sup>. It was seen as a vehicle for building links between organisations, scientists and government officials, and with UN and other international bodies with which it was in close contact. It also succeeded in developing a higher profile in the developing world, with Commissions such as CEPLA (now the Commission for Environmental Law) significantly increasing its membership from the South.

### *Conservation for sustainable development - the World Conservation Strategy*

IUCN's leadership role in conservation policy continued to evolve. Until UNEP came into being, the IUCN General Assembly was *the* unique global forum for environmental discussions and decisions that could affect the world. IUCN remained the main source of international expertise and guidance in conservation. In an attempt to define priorities, the Ashkhabad General Assembly in 1978 decided to support the concept of a World Conservation Strategy and to focus more on the needs of developing countries. Around this

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<sup>4</sup> Holdgate, M. 1999. *The Green Web. A Union for World Conservation*. Earthscan Publications. London. pp 119-120

time efforts to address poverty started to appear high on development agendas. This movement was accelerated by widespread famines, displacement of large numbers of people and decreasing per capita incomes in many developing countries. Man-made catastrophic events such as Bhopal helped to give prominence to the environment and its impact on living conditions.

This was the context in which the IUCN launched its seminal *World Conservation Strategy* in March 1980 as response to the need for a long-term and concerted effort to address environmental problems, and the integration of environmental and development objectives. Holdgate called it the “single most important contribution in whole of its (IUCN’s) history”<sup>5</sup>. It broadened the definition of conservation to include maintenance of ecological processes, the preservation of genetic diversity and the sustainable use of species and ecosystems. Holdgate notes that it was the first IUCN product that was acclaimed worldwide, including among governments and industry, and that became a blueprint for the work of many NGO and government partners and members of IUCN. It was clearly development-oriented, highlighting the human dimension and thus promoting conservation for sustainable development.

#### *The eighties – moving beyond international conventions*

During the 1980s international conventions on environmental topics multiplied. IUCN gave input into the text of *UN Convention on the Law of the Sea*, the *UN Conference on Desertification* expanded its action plan to include IUCN positions, and IUCN made key inputs into the *Conservation of the Antarctic Marine Living Resources Convention* which later led to the *Antarctic Conservation Strategy*.

During this period IUCN’s involvement in regional and national policy and strategy frameworks grew through initiatives such as advising Thailand on their National Conservation Plan and countries such as Indonesia, Panama and Malawi on relevant environmental legislation. Regional conservation strategies were used as a way to attend to major environmental systems such as the Amazon, Andes and Himalayas. IUCN played a dynamic role in the development of these strategies as well as in regional agreements such as the *ASEAN Agreement on the Conservation of Nature and Natural Resources*.

During the late eighties and early nineties its role in regions expanded, stimulating special foci on areas such as Antarctica, the Sahel, wetlands, human populations and the conservation of tropical forests.

#### *The beginning of a revolution – from technical advice to working on the ground in the developing world*

The *World Conservation Strategy* was pivotal in shaping the thinking during the eighties that eventually led to the accelerated regionalisation and decentralisation of the IUCN Secretariat in the nineties. Proponents argued that IUCN had to give advice informed by a comprehensive understanding of those areas where the knowledge was to be applied. The newly established Conservation for Development Centre (CDC) became an integral part of IUCN and paved the way for a different mode of working through its network of field offices and advisory committees separate from the Commissions. It assisted countries in preparing National Conservation Strategies, promoted the concept of sustainable development in regions and provided frameworks for action to integrate conservation and development on the ground. For the first time the Secretariat also attracted funding from development assistance agencies, turning it into a force that rivalled the influence of the Commissions.

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<sup>5</sup> Holdgate, M. 1999. *The Green Web. A Union for World Conservation*. Earthscan Publications. London. p 149

IUCN was now evolving into “the global conservation body with the widest-spreading roots and presence in the developing world”, working directly with NGOs and linking with local bodies and communities<sup>6</sup>. This started an unprecedented transformation in IUCN. It moved from being essentially a scientific advisory body to an operational agency, providing IUCN with the opportunity to link with its Members in the developing world. It also encouraged Members to demand greater control over the IUCN programme in their regions, as well as better links with regional and country offices.

#### *The nineties - increasing focus on economic and social dimensions*

The Perth General Assembly in 1990 brought new thinking about the dimensions of conservation. Social sciences and economics gained prominence in the quest to understand the human dimensions of conservation, strengthening the focus on sustainable use, and there was an increased campaign to focus attention on the conservation of the world's biological diversity. The shift in emphasis from IUCN headquarters to the regions gained momentum, accompanied by the emergence of Members' groupings as new points of power.

Although IUCN remained world-centred, around this time complaints started to emerge that its Secretariat was competing for resources with its Members.

#### *Promoting the sustainable use of biodiversity*

In the early nineties IUCN again made several significant contributions to global environmental thinking. In 1991 it launched in partnership with UNEP and WWF *Caring for the Earth: a Strategy for Sustainable Living* as the “World Conservation Strategy for the nineties”. It was a social and political document with a particular focus on developing country interests. It elucidated principles to help improve the condition of the world's people through sustainable living and the integration of conservation and development, and made practical suggestions for action under nine themes and across a variety of sectors.

IUCN also participated in preparations for the *UN Conference on Environment and Development* (UNCED) in Rio in 1992, also called the “Earth Summit”. This important conference led to the establishment soon after of the *Convention for Biological Diversity* (CBD), the *UN Framework Convention for Climate Change* (UNFCCC) and *Agenda 21*, a comprehensive plan of action that promotes sustainable development in terms of social, economic and environmental progress. *Agenda 21* was partly based on “*Caring for the Earth*” and remains the most influential, albeit non-binding instrument for action in the environmental field. Similarly the CBD, as the first global agreement on conservation and the sustainable use of biodiversity, was influenced by the *Global Biodiversity Strategy* produced in 1992 by IUCN, WRI and UNEP. It promotes a comprehensive, ecosystems approach to the protection of biodiversity.

Thus the emergence during the past decade of biological diversity as an important cornerstone of sustainable development signalled a return to what traditionally used to be IUCN's “heartland”.

Throughout the nineties IUCN continued to work with governments in those regions and countries where it had a presence. By 2002 IUCN has helped prepare and implement national conservation strategies in over 75 countries<sup>7</sup>.

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<sup>6</sup> Holdgate, M. 1999. *The Green Web. A Union for World Conservation*. Earthscan Publications. London. p 179

<sup>7</sup> UNDP, UNEP, The World Bank and WRI. 2003. *World Resources 2002-2004: Decisions for the Earth: Balance, Voice and Power*. Washington: WRI. P 141

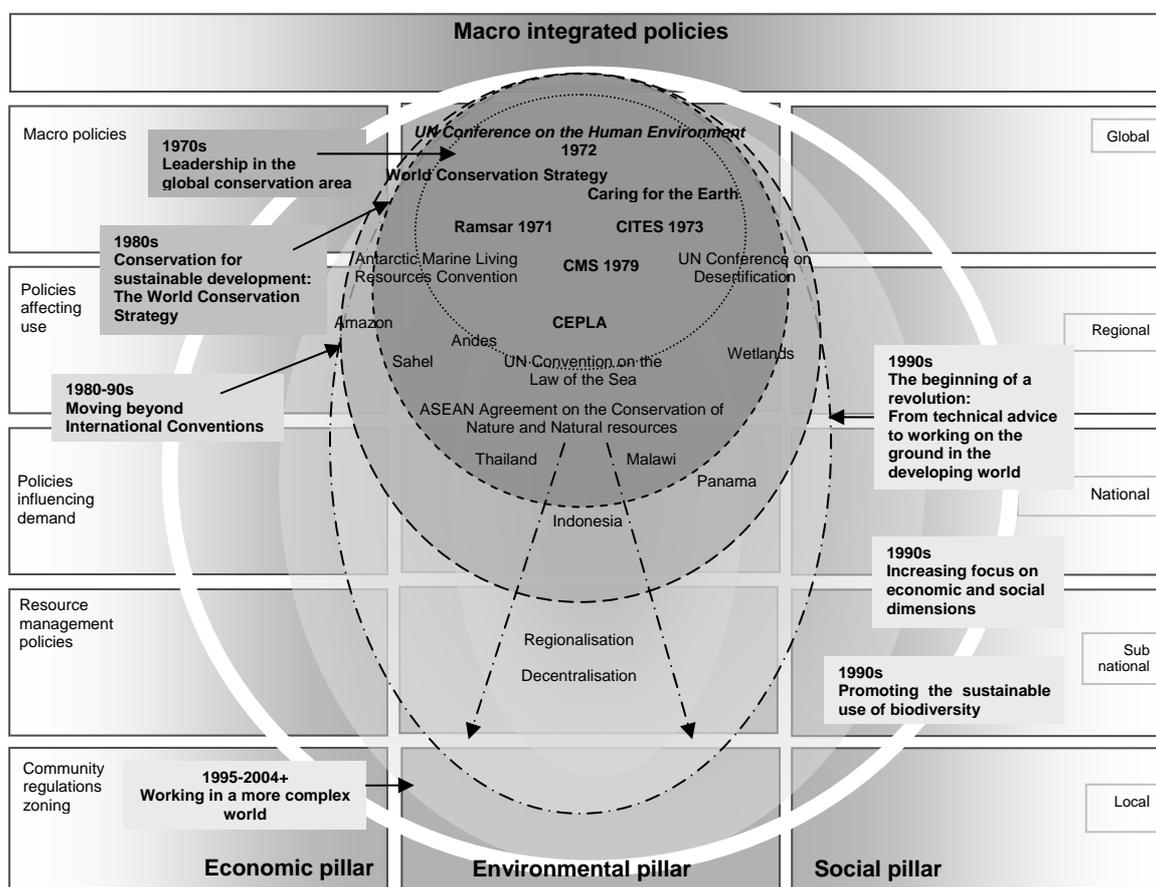
*Working in a more complex world*

For environmentalists the world in the late nineties and early 21<sup>st</sup> century is far more complex than that of earlier decades, and changing contexts have brought new challenges to IUCN and the rest of the conservation community. Environmental degradation is increasing and environmental problems loom large and pervasive. Globalisation is a reality with its effects reflected in areas such as easier access to, and sharing of, natural resources (and of less desired organisms); asymmetrical trade relationships; increased movement across borders; more vigorous communication and sharing of experiences; and greater awareness of policy regimes in different parts of the world. In many ways the nation-state is being superseded by powerful regional groupings and global multinational corporations and organisations that on the one hand can create opportunities for prosperity but are also able to manipulate and use countries with lesser policies and regulations. Business and industry have become increasingly powerful in shaping the world, and environmental conventions and agreements are not necessarily integrated or compatible with policies devised in other domains. Security concerns are starting to affect the policies of many nations around the world.

At the same time many countries have been devolving decision-making power to local level – including for environmental matters. This has been accompanied by a “bottom-up” movement among civil society and indigenous communities, demanding to help shape policy decisions.

We believe that these movements are set to continue for a significant period. IUCN remains very active in the policy arena. It has always worked in partnership with other organisations, and this approach has been reinforced in the late nineties through closer relationships and significant agreements with the CBD and organisations such as the World Bank, UNDP and

Figure 1: Simple map of IUCN's history in influencing policy



UNEP. Consortia of organisations combined their efforts in preparing key documents and coordinating their arguments at important forums. As could be expected, the continued regionalisation and decentralisation has brought about significant changes in the policy foci of the Union. At regional level it continues to work in field project mode, focusing its efforts on ecosystems and on natural resources and their sustainable use. It advises governments or government consortia at various levels while continuing to make a strong input into global conservation policies – mostly in refining existing instruments.

The implementation of the CBD became a major focus for IUCN's expertise after the adoption of national strategies for sustainable development and biodiversity conservation. In an effort to provide relevant data and information for use at national, regional and global level, the Biodiversity Conservation Information System (BCIS) was established by IUCN and a number of partners to support environmental decision-making.

During this period the motions and resolutions at the three World Conservation Congresses increased dramatically to almost unwieldy numbers, making it difficult to prioritise and implement appropriate initiatives effectively. More concerted efforts were launched to work with the private sector and with critical forces in the global macroeconomic policy environment, but until the Third World Conservation Congress a lack of critical mass of suitable expertise, as well as tensions within the component parts of IUCN prevented dynamic progress in this respect.

This challenging arena now requires IUCN to work in new ways to ensure maximum impact with limited resources to effect the policy changes it wants to see in the world.

Figure 1 provides a simple visual map highlighting key points in IUCN's history in influencing policy around the world.

### **3. FINDINGS: THE NATURE OF THE POLICY WORK**

#### **3.1. Defining policy in IUCN**

How does IUCN define policy when planning its interventions? How do programmes delineate “policy” when deciding what to influence? Is there a common vision of what “policy” is that guides IUCN's policy framework and sets boundaries right from the start? And if they exist, are these boundaries established intuitively or deliberately?

An open-ended question was used to determine how programme informants conceptualise the boundaries of “policy” in their context. Twenty-six programmes responded. There were no meaningful differences in response between the programme groups.

##### ***Finding 1***

*Influencing policy is not a clearly delineated field of work in IUCN. Programmes do not use a formal definition of policy or set boundaries to help focus their policy work, leading to some confusion about what constitutes “policy” or “policy influence” in the IUCN context.*

**Finding 2**

*Programmes do not view policy work in a narrow sense, for example as working only with frameworks created by and between governments. A significant number are inclined to regard “almost everything” done in their programmes as “policy work”.*

A significant number of programme informants acknowledged confusion about how “policy” is, and should be, defined in an IUCN context. Attempts at definition were expressed in diverse and vague terms, often confused with policy influence mechanisms, policy-making processes, policy outputs or levels of engagement, or any combination of these.

***IUCN's definition of policy***

“Policy may be defined as a definite course or principle of action selected from among alternatives to guide present and future decisions and actions.”

*IUCN Revised Policy System, 2002*

Only one informant referred to the definition of policy devised by IUCN in 2002. Several wished for more practical guidance from IUCN on this issue.

Only two programmes viewed policy as a “framework established by governments”. In at least seven programmes the views resembled the very broad definition applied by IUCN, for example “Body of rules, decisions and procedures that influence people’s behaviour”, and “Frameworks that have been agreed upon and that guide action”.

**Finding 3**

*More than half of IUCN programmes regard influencing policy as the major component of their work, with 38.5% relating 90-100%, and another 15.4% of programmes relating more than 60% of their efforts to policy work.*

Deliberately setting boundaries for programmes as a means to focus policy influence efforts is not a widespread practice in IUCN. Sixteen programmes, when pressured, ventured to identify some boundaries that have helped to focus their work. Clear patterns did not emerge and generally the policy boundaries remained vaguely conceptualised, based on one (and in few cases on more) of the following:

- The thematic areas within which the programme operates
- Commission mandates
- The level at which the programme operates
- The policy statements and positions, or the Secretariat guidelines for policy in IUCN
- Congress Resolutions
- External frameworks such as Biodiversity 2010.

**3.2. Programme emphasis on policy work**

IUCN has made excellent contributions to influencing policy, but does it continue to position itself as a leading organisation in the policy arena? The IUCN leadership may subscribe to this role, but is it reflected in the perspectives of those who are responsible for the programmes? How is this played out in practice, that is, what is the weight given in IUCN programmes to policy work?

Programme informants were asked to quantify the effort spent on policy related work in each programme during the current Intersessional period. The responses were divided into four sections on a percentage scale to indicate the emphasis per programme group.

**Finding 4**

*Although roughly 10-20% of the targets of IUCN's key policy initiatives are "non-conservation" groupings, institutions or frameworks affecting conservation and the environment, the level of purposeful effort and resources used for these initiatives compared to IUCN's traditional targets are still viewed as quite limited.*

**Finding 5**

*The regionalisation of IUCN and the proliferation of international agreements have helped to create an impressive number of more than 60 specific policy targets as well as a significant number of unspecified groupings at which Secretariat and Commissions' key policy initiatives have been aimed since 1997.*

**Finding 6**

*IUCN's policy targets are diverse and include at least 12 global conventions and forums; 15 global institutions and institutional networks; 18 regional authorities, frameworks, forums and institutional networks; a large number of national and sub-national frameworks, authorities and forums; as well as several global development programmes, IUCN forums and unspecified groupings and targets such as civil society, indigenous peoples, trade policies, corporate sector policies and international gender forums and networks.*

One third of programmes (half of those that quantified their policy effort) confirmed that 90% or more of their work has a link to policy, while more than half spend 60% or more of their effort on policy related work.

All the Multilateral Offices, three quarters of Global Thematic programmes, half of the Commissions and one third of the Regional programmes profess to spend more than 60% of their time on policy related work (Table 2). Many informants stated that nothing is done in their programmes without relating it to influencing policy in some way.

These figures give a sense of the extent to which senior programme staff *feel* that their programmes are involved in policy work. The vague way in which policy has been defined by the programmes and the strong emphasis in IUCN on creating policy-practice linkages will contribute to the perception that "everything relates to policy". The amount of policy work

Table 2: Programme effort spent on policy related work, per programme group

PROGRAMME GROUP	PROGRAMME EFFORT SPENT ON POLICY RELATED WORK (n = number of programmes)					
	90-100%	60-89%	30-59%	0-29%	Not quantified	Total responses
Global Thematic	3	1	1	1	1	7
Multilat./Global	3	1	-	-	-	4
Commissions	2	1	1	2	-	6
Regional	2	1	1	-	5	9
Total	10	4	3	3	6	26
Total percentage	38.5%	15.4%	11.5%	11.5%	23.1%	100%

over a given period can vary significantly depending on factors such as interest from donors, IUCN's credibility among governments and other decision-makers, personal interests and policy opportunities. In spite of these caveats there is little doubt that IUCN considers itself to be very active in the policy arena.

### 3.3. The policy initiatives

The Review team defined a "policy initiative" as an intervention conducted within specified resources and implementation schedules, aimed at achieving or contributing to a specific policy influence objective (or set of objectives) within the framework of a Secretariat and Commission programme. Informants were asked to identify up to four of the most important policy initiatives conducted in their programme over the past eight years, based on two criteria: (i) regarded as the most effective in terms of policy influence in their programme; and/or (ii) longer term initiatives, possibly carried out over several years or Intersessional periods, under the assumption that these would have been important priorities and taken significant programme effort and resources. It is not clear what percentage of the Secretariat and Commissions' policy work is represented by these initiatives.

A "fingerprint" consisting of the geographic level and area, period executed, programmatic theme, the policy or process targeted, and mechanisms for policy influence, was compiled for each initiative to facilitate referencing and identification of initiatives by category for case study selection for Phase II. Annex 8 lists the key policy initiatives identified by the programme informants. A short description of each initiative is provided in the Addendum to this report. The list of key initiatives cannot be exhaustive of all the policy work of IUCN, but illustrates the very impressive and wide-ranging nature of the policy work of the IUCN Secretariat and Commissions.

#### *The period of execution*

Most of the key initiatives identified have been executed during the current Intersessional period, with only 25% taking place in or since the previous Intersessional period. A few were mentioned as initiatives having taken place or continuing over a much longer period (Box 3).

#### **Box 3: Key policy initiatives launched before 1997**

A few were mentioned as initiatives having taken place (most of which are still continuing) over a much longer period, in particular those relating to:

- Initiatives of the Gender programme
- Support to the International Coral Reef Initiative and the Global Coral Reef Monitoring Network
- GBF
- CBD and CITES
- Promotion of conservation in the World Bank and UNDP
- Evaluations by WPCA for the European Commission
- World Parks Congresses
- National Conservation Strategies
- Biodiversity Action Plan for Pakistan
- Implementation of key MEAs in Pakistan
- Promoting community resource management in Uganda
- Regional integration agenda through ALIDES in Central America
- SADC Regional Wetlands Conservation Project

### *The authorities and instruments targeted for policy influence*

Data on the critical issue of the audiences that IUCN has been targeting and the relationships it has established through its policy work are inadequate, and could be a focus during phase II of the Review. The mechanisms it has been using and the outcomes towards which it has been working can be found in a later chapter of this report. The key initiatives show that the instruments targeted by IUCN to bring about policy change can be roughly divided into the following categories:

#### *(i) Policies, processes and events directing conservation on a global scale*

IUCN has helped to initiate or provide input into seminal policy initiatives that have given direction to conservation on a global scale. These include initiatives such as the World Conservation Strategy and Caring for the Earth. Leading global events for the environment such as UNCED and WSSD are also included in this category.

Such opportunities are few and IUCN has not been a leading force in this type of policy activity for some time.

#### *(ii) Global sectoral conventions and agreements*

Nearly all IUCN's policy work until the early nineties have been in this category, and as the large number of relevant targets<sup>8</sup> in Box 4 indicates, it remains a very important part of its policy work. In this category IUCN exerts influence by targeting conventions and agreements between signatories, usually governments from across the world. The conventions and agreements are normally sectoral and steer particular areas of the environment and conservation through the power of their signatory networks.

A very large amount of IUCN's policy efforts focus on these targets. Working closely with global conventions and agreements is one of the most effective ways through which to bring about change. However, policy work at this level does not yield results if the agreements are not effectively implemented, if there is too much proliferation and fragmentation in the global policy system serving conservation and the environment, and if other forces and points of power neutralise the impact of these agreements.

#### *(iii) Key institutions and institutional networks with global reach and power*

A number of IUCN initiatives are working to help influence the policies and operating frameworks of powerful global organisations such as the World Bank and UN agencies. This category also includes global organisations with powerful members such as the International Council on Mining and Minerals and the International Tropical Timber Organisation. IUCN's efforts to influence the private sector are mostly focussed at this group.

#### *(iv) Key global frameworks for action*

The Millennium Development Goals (MDGs) and Poverty Reduction Strategy Papers (PRSPs) are important global frameworks for action with implications for the environment. While the work in many IUCN programmes is likely to make contributions to these frameworks, they were explicitly mentioned as targets for influence in only two programmes.

#### *(v) Global IUCN forums*

IUCN mobilises its Members and partners during the World Conservation Congress to receive policy direction and guidance through their recommendations and resolutions. Unless these are coherent, realistic and strategic, IUCN's policy directions can become confused and unsure. The World Parks Congresses are included in this category as forums that allow IUCN

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<sup>8</sup> We use the term "targets" as a general term to refer to those policies, processes, audiences, forums, etc. that IUCN attempts to influence through its policy work.

#### Box 4: Targets of the key policy initiatives of the IUCN Secretariat and Commissions between 1997 and 2004

##### Global Conventions and Forums (through Conference of Parties, Technical Committees and Participants)

- Barcelona Convention
- Covenant on Environment and Development
- Convention on the International Trade of Endangered Species (CITES)
- Ramsar Convention on Wetlands
- UN Convention on Biological Diversity (CBD)
- UN Convention to Combat Desertification (UNCCD)
- UN Convention on the Law of the Sea (UNCLOS)
- UN Fish Stock Agreement
- UN Framework Convention on Climate Change (UNFCCC)
- World Heritage Convention
- World Summit on Sustainable Development (WSSD)
- World Water Forum and Ministerial Conference

##### Global Institutions and Institutional Networks

- Collaborative Partnership on Forests (CPF)
- Global Coral Reef Monitoring Network
- Global Biodiversity Forum (GBF)
- International Coral Reef Initiative
- International Council on Mining and Metals (ICMM)
- International Finance Corporation (IFC)
- International Seabed Authority
- International Tropical Timber Organisation (ITTO)
- Royal Dutch Shell
- UN Development Programme (UNDP)
- UN Forum on Forests (UNFF)
- UN General Assembly
- World Bank
- World Intellectual Property Organisation (WIPO)
- World Trade Organisation (WTO)

##### IUCN Forums

- World Conservation Congress (WCC)
- World Parks Congress (WPC)

##### Global Development Frameworks

- Millennium Development Goals (MDGs)
- Poverty Reduction Strategy Papers (PRSPs)

##### Unspecified Global Policies and Groupings

- Policies related to indigenous peoples
- Trade policies
- Civil society participation in policy-making
- International gender forums and networks
- Industry; corporate sector policies

##### Regional Authorities, Frameworks, Forums and Institutional Networks\*

- African Forest Law Enforcement and Governance (AFLEG)
- Common Regime on Genetic Resources Access of the Andean Nations Community (CAN)
- Central American Alliance for Sustainable Development (ALIDES)
- Central American Forest Strategy (EFCA)
- Civil Society Network (Central Africa)
- Conference on the Ecosystems of Dense Rainforests of Central Africa
- Countdown 2010 (Europe)
- European Commission
- European Habitats Forum
- Forest Policy for Asia
- High Andean Wetlands Biodiversity Strategy
- IPF/IFF Proposals for Action in Mesoamerica
- Network of Forestry Directors (Central Africa)
- Network of Indigenous Peoples (Central Africa)
- New Partnership for Africa's Development (NEPAD)
- Southern African Development Community (SADC) Regional Wetlands Conservation Project
- Women's Network in Mesoamerica (REFADD)

##### National and Sub-national Frameworks, Authorities and Forums\*

- Customary and statutory policy and law reform in Asia
- Development planning processes in Pakistan
- Implementation of Multilateral Environmental Agreements in Asia
- Implementation of IPF/IFF through Central American Forest Strategy
- Macroeconomic and sectoral policies in Asia
- National Wetlands Policy in Uganda
- National Biodiversity Action Plan for Pakistan
- National Biodiversity Strategies in South America
- National Conservation Strategies in several Asian countries
- Provincial Forest Policy in Pakistan
- Wetlands Sector Strategic Plan in Uganda
- Governments and civil society in Mesoamerica, Asia and Africa
- Governments in Europe, US

\* List not exhaustive due to complexity of interactions at these levels

Members and others to develop shared visions and policy statements in a specific area of conservation.

##### (vi) Regional authorities, frameworks, forums and institutional networks

IUCN's policy work with regional authorities, collaborative forums and institutional networks has increased rapidly since the establishment of its regional and country offices which gave them a greater presence in conservation hotspots and in regions where political, geographic

and cross-border collaboration is an instrument for conservation. Agreements are often embodied in frameworks and programmes for collaboration and implementation. Most of the work is done through inter-governmental collaboration; sometimes the forums and networks include role players from the non-governmental, private and other sectors. Examples include IUCN's work with the Central American Alliance for Sustainable Development (ALIDES), the Andean Nations Community (CAN) and African Forest Law Enforcement and Governance (AFLEG).

(Note: The categories of instruments for policy influence at regional level are related to those at global level and more work needs to be done to refine and separate categories at this level).

*(vii) National and sub-national authorities, frameworks and forums*

At national and sub-national level the vast majority of IUCN's initiatives have been aimed at supporting national, provincial and sometimes local governments in the development of national policies, strategies, and programmes, usually in order to implement global and regional agreements through for example National Conservation Strategies, and more recently National Biodiversity Strategies and Action Plans. The range of activities at national and sub-national level includes work done in developing countries to build the capacity of civil society to participate in policy formulation and implementation.

**Target audiences for policy influence**

The range of instruments targeted for policy influence by IUCN is impressive. However of critical importance is the need to develop an understanding of the extent to which IUCN has been able to address those role players who determine and lead global, regional and national trends that impact strongly upon conservation and the environment. These audiences influence and direct "top-down" trends such as the privatisation of resource management and the changing terms of trade and access to markets and finance. They make policy decisions at multilateral forums within current macroeconomic contexts, and to a lesser, yet still significant extent trigger "bottom-up" pressures such as developing country communities with increasing demands for change in governance and management systems, equity, and social and economic development. They are becoming increasingly important if IUCN is to fulfil its mission.

Informants have noted that some of the "revolutions" in IUCN over the past Intersessional period have included a greater awareness of the need to influence these audiences, which include Ministries of Finance and Planning, the private sector and key institutions and policies in the macroeconomic arena.

**Table 3: Distribution of the important policy initiatives between IUCN's traditional themes and more recent thematic priorities**

TRADITIONAL THEMES	n*	MORE RECENT THEMES	n*
Biodiversity	16	Social Policy	11
Protected Areas	15	Climate Change	4
Forest Conservation	14	Private Sector	4
Environmental Law	14	Gender	3
Wetlands and Water	10	Education and Communication	3
Marine	7	Economics	2
Species Conservation	7		
Ecosystem Management	2		
Total	78		27
Total percentage**	85%	Total percentage	30%

\* n = number of programmes

\*\* Percentage will not add up to 100 as an initiative could be linked to more than one theme

Even though data collection on target audiences for IUCN's policy work was inadequate to come to definite conclusions, and even though some of the key initiatives indicate some certain shifts in this regard, the perception of the Review team is that these shifts are tentative and not driven in a concerted and strategic manner.

### ***Initiatives per thematic area***

Three quarters of the policy work noted as important over the last two Intersessional periods relate to themes on which IUCN has historically built its reputation, while around one quarter relate to themes of growing importance (Table 3). This figure is likely to be an exaggeration when compared to IUCN's policy work overall due to the method of data collection.

### ***Distribution of work between geographic levels***

#### ***Finding 7***

*The vast majority of the important policy initiatives remain in those thematic areas in which IUCN has built its reputation, although there has been some shift to themes of growing prominence such as climate change, social policy, economics, gender, communication and education, and work with the private sector.*

The majority of IUCN's key policy initiatives remain targeted at global level. Regional programmes divide their work almost equally between regional and national (which in this case includes sub-national) level, with a small contribution (10.4%) to global level policy efforts. Key Commission initiatives are aimed almost entirely at global level, with a small effort going into national level policy work (9.5%). Global Thematic programmes include some key policy initiatives at regional and national levels.

### ***Collaboration on key policy targets***

#### ***Finding 8***

*The majority of IUCN's "most important" policy initiatives in all programmes remain targeted at global level, but the presence of regional and national offices has shifted a significant part of its policy work to regional, national and sub-national level, where it focuses very strongly on government frameworks and networks, and capacity building among civil society.*

Of the wide range of policies and policy-making processes targeted in the key policy initiatives (Box 4), ten have emerged as the focus of more than one programme. Those noted by two programmes each as most important policy targets are the ICMM, African Forest Law Enforcement and Governance, the UN Assembly, the World Bank, the European Commission, the UNFCCC, Ramsar COP 8 and Ministries of the Environment in Mesoamerica. Four programmes noted their work for the World Parks Congress as some of their most important policy work.

It is thus very significant that 12 programmes, half of those that responded, noted the CBD COP and SBSTTA meetings as key targets for their policy initiatives. It is clear that during recent years the CBD has been by far the most important policy target for IUCN programmes.

This finding does not mean that there is not collaboration between programmes on other policy work. Evidence of such collaboration has been found in around 30% of key initiatives mentioned, and it is likely that this percentage is even higher (The data collected on partnerships and collaboration in policy work was too fragmentary to have been useful in the Review). The main implication of this finding is that with the exception of the CBD there is

no evidence of *concerted* attention by IUCN on influencing specific policy targets from a variety of angles to achieve a specified outcome. This is at least in part due to the sectoral nature of many of the IUCN programmes, and the lack of collaboration in policy work between programmes at regional and global level.

## 4. FINDINGS: FACTORS DRIVING AND SHAPING POLICY WORK IN IUCN

### 4.1. Motivation for policy work in IUCN

Why do programmes devote significant energy and resources to influencing policy? What drives their stated emphasis on policy work? Responses to an open-ended question aimed at elucidating this aspect were coded and analysed for all 25 responding programmes (Table 4).

#### *Finding 9*

*There is little evidence of purposeful, concerted efforts by IUCN to concentrate its most important policy work across programmes on strategically identified policy targets, with the very notable exception of the Convention on Biological Diversity, which was mentioned by half of responding programmes as one of their four most important targets for policy influence.*

Table 4: Main factors motivating an emphasis on policy work in Secretariat and Commission programmes

MOTIVATING FACTOR	PERCENTAGE PROGRAMME RESPONSES (n=35)
It is the most cost-effective way to influence key decision-makers and achieve a powerful impact	22.9%
It is an opportunity to provide enabling frameworks for implementation of desired changes as support to field practitioners	17.1%
It is the mandate which shapes the programme	17.1%
It enables contributions to frameworks that improve governance, which is one of the most important keys to change at all levels	11.4%
It is determined by the context – as policy windows open	8.6%
It supports the development of enabling frameworks that help partners (especially in other sectors) to fit the environment / biodiversity into their own agendas and policies	8.6%
It is the best means through which to achieve the IUCN mission	8.6%
It enables full use of IUCN's comparative advantage	5.7%
Total	100%

Table 4 shows that nearly 23% of programme informants find policy work to be the most cost-effective way to exert the most influence, especially as policy frameworks are also tools to improve governance (11.4%) and to influence other sectors to fit the environment and biodiversity into their own agendas and policies (8.6%). Through policy work IUCN can also influence practice by providing frameworks that facilitate implementation and support those working in the field (17.1%). Policy work is also seen as an important part of programme mandates (17.1%) that also enables IUCN to make use of its comparative advantage (5.7%).

## 4.2. “Revolutions” in conceptualising IUCN’s policy work

### ***Finding 10***

*IUCN programmes’ strong focus on policy influence is driven by factors inherent in the nature of the organisation - their search for the most powerful and cost-effective strategies to bring about desired change; their eagerness to affect governance systems, practice and powerful institutional agendas; willingness and flexibility to respond to opening policy windows; and programme interpretations of IUCN’s mission, its comparative advantage and their mandates.*

### ***Finding 11***

*Three shifts in conceptualising policy work have occurred during the recent years in at least seven IUCN programmes:*

- (i) a much stronger focus on governance and working with governments at all levels, including with local authorities;*
- (ii) more concerted targeting of new audiences such as Finance and Planning Ministries, the private sector, influential global, and non-conservation networks influencing the environment; and*
- (iii) new approaches to conservation, including*
  - integrating environment and development – “conservation for the people”;*
  - more service oriented and market based approaches;*
  - from theme-based conservation to biodiversity which includes social, economic and legal issues in a cross-cutting manner.*

### ***Finding 12***

*These three shifts in conceptualising policy work have been driven by*

- greater understanding of realities on the ground through regionalisation;*
- the need to make a stronger case for environmental management as part of poverty reduction strategies;*
- the realisation of the need to reach new audiences who exert a powerful influence on conservation and the environment*
- external factors such as changes in donor funding patterns and the devolution of power to local authorities;*

### ***Finding 13***

*Opinions and observations are that these shifts in thinking have not yet been embodied in widespread implementation and supported well enough to represent a true “revolution” in how IUCN conducts its work.*

In (at least) seven programmes, one or more of three new conservation paradigms were noted to have affected IUCN’s policy work, causing shifts in topics and approaches. The most striking was the shift towards integrating environment and development solutions, and the realisation of the environment and conservation as “for the people”. It brought new thinking

about issues such as the inclusion of perspectives of diverse stakeholders, participation in decision-making and co-management of natural resources, involvement of indigenous people in processes in order to protect their interests, and the need to harmonise the interests of the environment with poverty alleviation and efforts to improve livelihoods. A second shift has been towards more service and market oriented approaches to conservation, focusing on efficient service provision and getting beneficiaries to pay for such services. The third entailed a shift from theme-based conservation to biodiversity which includes social, economic and legal issues in a cross-cutting manner.

Informant comments show that Regional programmes in particular have changed their approaches through their growing understanding of realities on the ground (Table 5) and their desire to be relevant in their regions. They became more aware of the need to work closely with governments to get relevant frameworks in place that can improve the governance of natural resources and of the environment. They also understood the need to empower the governance structures of local communities to participate in the design and implementation of policies that affect local communities. This was perpetuated by the trend in developing countries towards decentralisation and devolution of power to local authorities.

The shifts were among others brought about by developing a clearer understanding of issues through working with realities on the ground. Such experiences highlighted the need to link conservation with efforts to reduce poverty and brought recognition of the need for a stronger case for sound environmental management as part of poverty reduction strategies. Donor demands also played a role, as did pressure from within IUCN to change.

The final “revolution” was brought about by the realisation that the traditional audience for IUCN's policy work, the conservation community, needed to be broadened to include more influential decision-makers from other sectors who have a significant influence on the environment and conservation. These audiences include Finance and Planning Ministries, the private sector, influential organisations such as the World Bank and non-conservation organisations and networks that influence the environment.

There are a number of examples of these shifts. In Pakistan IUCN initially worked within processes that excluded government, but they achieved more success in convincing the government to listen to “the voice of the people” when they worked in unison with them. In Central Africa the IUCN Office with its Members have formed a forum which works in close collaboration with an inter-ministerial committee representing 10 countries to develop a common vision for the management of ecosystems through coherent trans-boundary laws and policies. CEESP focuses much of their work on community participation and helping to develop frameworks for co-management by local communities dealing with protected areas and natural resources.

The Wetlands Programme moved its focus from wetlands conservation to water resources. The Commission on Environmental Law is constantly exploring new topics and recently completed work on soil law, biosafety law and environmental flows analysis. SSC has noted a shift from the trade-species agenda driven by CITES, to making an explicit link to livelihoods when undertaking policy advice while still retaining a sound grounding for its work in ecology and biology.

In Eastern Africa, recognition of the necessity of “economic arguments” around incentives and disincentives to conservation moved EARO's policy work in that direction and led them to engage non-traditional ministries such as Finance and work through supra-national or regional structures. A similar change occurred in Southern Africa.

The Business and Biodiversity Unit is relatively new, but is an extension of long-term work

Table 5: “Revolutions” in conceptualising policy work in IUCN Secretariat and Commission programmes during the past two Intersessional periods

REVOLUTION		
Shift	Drivers	Programmes
Increased focus on governance and need to work with governments (and community structures) as part of efforts to improve the governance of natural resources and the environment at all levels	<ul style="list-style-type: none"> <li>▪ IUCN R&amp;D which brings it closer to realities on the ground</li> <li>▪ Desire to be relevant in region</li> <li>▪ Trend among governments of devolution of authority to local level</li> <li>▪ Need to empower community structures</li> </ul>	ARO, BRAC, EARO, SUR Pakistan Country Office Social Policy CEESP
Shift to new conservation paradigms: <ul style="list-style-type: none"> <li>▪ From conservation to integrating environment and development Inclusion of conservation as “for the people” – diverse stakeholders; co-management, participation; indigenous people; livelihoods and poverty, equity, sustainable development</li> <li>▪ Economics, and shift to more service oriented, market oriented efforts - markets for ecosystem services; market-based approaches to the environment</li> <li>▪ From theme-based conservation to biodiversity which includes social, economic and legal issues in a cross-cutting manner</li> </ul>	<ul style="list-style-type: none"> <li>▪ Understanding of need through realities on the ground that link conservation and poverty</li> <li>▪ External contexts such as trends in donor, and demand for a stronger case for environmental management as part of poverty reduction strategies</li> <li>▪ Internal pressure</li> </ul>	ARO, EARO Social Policy Economics and Environment PBIA SSC
Extending traditional boundaries to include new audiences: <ul style="list-style-type: none"> <li>▪ Finance and Planning Ministries</li> <li>▪ Private sector, including the mining</li> <li>▪ Influential organisations such as the World Bank</li> <li>▪ Non-conservation networks influencing the environment</li> </ul>	Assessment that this will have more impact; more power can be exerted; more influential decision-makers reached.	EARO, ROSA Business and Biodiversity Water and Wetlands Economics and Environment WCPA

by IUCN's Biodiversity Policy Coordination Division and Economics Services Unit. These efforts have shifted IUCN into working on issues that engage the private sector. Linked to this work has been the contribution of the World Commission on Protected Areas in the area of mining and protected areas.

### 4.3. "Evolutions" in IUCN's policy work

#### ***Finding 14***

*Nine programmes have experienced a gradual evolution in their policy work during recent years, leading to a more frequent, strategic and systematic emphasis on influencing policy.*

#### ***Finding 15***

*This gradual change has been driven by greater appreciation of policy issues in maturing programmes, IUCN's increasing credibility among governments in regions, and by organisational factors - the improved Intersessional Programme, findings of strategic reviews, better relations between Secretariat components, greater involvement in international conventions and IUCN's strong leadership that have underlined the importance of its role in influencing policy.*

Nine programmes have experienced a gradual, quiet evolution rather than "revolution" in their policy work (Table 6) - an increased focus on policy and more systematic, strategic approaches to achieve policy influence. Programmes have increasingly realised the power of effecting change through the establishment of frameworks for action. With this came a greater awareness of the need to move strategically and systematically to achieve impact in a policy environment complicated by many players, instruments and priorities.

A significant portion of the evolution has been driven by internal change and pressures. The Intersessional Programme, strategic reviews, an improved relationship between IUCN Headquarters and the Regional Offices, and strong leadership in IUCN are all said to have played a role. Institutional efforts have been made to increase involvement in international conventions such as the CBD and the World Heritage Convention and more opportunities have opened up as IUCN's credibility in the regions grows. External policy processes, international convention cycles and donor priorities are the external drivers of the evolution in policy work in some programmes - they move with the cycles of these external influences.

Two programmes work specifically with the aim to encourage IUCN to evolve. The Chief Scientist and ELP / CEL search for new emerging areas of prominence so that IUCN can be on the forefront of new developments.

Other changes have also affected IUCN. An important new element with excellent potential for enhanced influence is IUCN's new status as UN Observer. A growing recognition among influential organisations of the unique hybrid nature of its membership which gives it the capacity to operate as (more than) an NGO and (more than) an IGO, also increasingly provides opportunities for effective positioning in a greater number of corridors of power.

A significant number of programmes have been subjected to structural or conceptual change. The Business and Biodiversity Unit was created; new positions as Social Policy, Economics and Gender Advisors followed the abolishment of the Social Policy and Economics Units; the Policy, Biodiversity and International Agreement Unit replaced the biodiversity, trade and climate change policy units; and the Marine Programme was re-established.

Table 6: “Evolution” in policy work in IUCN Secretariat and Commission programmes in the past two Intersessional periods

EVOLUTION		
Shift	Drivers	Programmes
Increase in policy influence work, accompanied by more strategic and systematic approaches	<p>More general awareness of the power of policy influence to achieve desired changes</p> <p>Greater awareness of need to move strategically and systematically in policy environment in order to achieve impact</p> <p>Intersessional Programme</p> <p>Maturing programmes</p> <p>Influence of strategic reviews</p> <p>Influence of IUCN leadership</p> <p>Improved relationship between Headquarters and the regional offices</p> <p>More opportunities as IUCN credibility in regions grows</p> <p>Increased involvement in international conventions, especially the CBD and WHC</p>	<p>ARO ELG, ORMA, SUR, ROSA</p> <p>Forests, Water and Wetlands</p> <p>Gender</p> <p>WCPA</p>
Move with external policy processes, international convention cycles and donor priorities	Focus on external contexts and policy processes	EARO, CEC
Continues search for new emerging areas of prominence – in other words facilitates IUCN’s evolution into new areas	<p>Mandate and approach to their work</p> <p>Need for IUCN to be on forefront of new developments that can affect its efforts to achieve its mission</p>	<p>Chief Scientist</p> <p>CEL</p>

Some offices went through a period of instability. South America (SUR) and Europe (RofE) had total turnover of staff and a virtually complete loss of institutional memory. The Mediterranean Cooperation Office and Asia Regional Office are relatively new structures, although the Asia Regional Office could build on strong country programmes in Pakistan, Lao PDR, Vietnam and Nepal.

#### 4.4. Factors facilitating policy work in IUCN

The people most intimately involved in the strategic planning and direction of the programmes would be a key source of information on the main factors hindering or facilitating efforts to influence policy, and what could be done to improve the work. The analysis of this information was based on the insights of the senior staff of 29 programmes responding to a set of three open-ended questions. Their responses were coded and grouped to enable useful analysis. Responses and trends across the three programme groups were surprisingly similar and the programmes were treated as one group for the final analysis (Tables 7 - 9).

##### ***Finding 16***

*IUCN's policy work is facilitated by*

- *its capacity to produce and apply appropriate and timely technical knowledge (most frequently mentioned);*
- *its credibility;*
- *its partnerships and alliances;*
- *the commitment of its staff and volunteer networks;*
- *effective planning in some of the programmes;*
- *collaboration between organisational components;*
- *its agility in grasping opportunities;*
- *the availability of financial resources for policy work; and*
- *the freedom to experiment (least frequently mentioned).*

It is no surprise that programme informants regard IUCN's main asset for policy work as the skills and expertise of its Secretariat and Commissions. However they note that IUCN has

Table 7: Factors facilitating the policy work of the IUCN Secretariat and Commissions

FACILITATING FACTORS	PERCENTAGE RESPONSES
Expertise of IUCN Secretariat and Commissions	20.0%
Credibility of IUCN	16.8%
Partnerships, alliances and relationships	14.7%
Staff and volunteer commitment	7.4%
Purposeful, effective planning	7.4%
Synergies and collaboration between IUCN components	5.3%
Opportunities; opening policy windows	5.3%
Availability of financial resources	5.3%
Freedom to experiment	4.2%
Other (each fewer than 4% responses)	13.6%
<i>Total percentage</i>	<i>100.0%</i>
<i>Total responses</i>	<i>95</i>

excellent thematic experts, but too few staff with broad policy experience and vision, and an intimate knowledge of how policy work is done.

The credibility of IUCN as a brand (rather than its individual components) remains a great strength of IUCN (noted in 16.8% of responses; Table 7). Its perceived ability to use its field experiences to inform its policy work, its scientifically underpinned policy positions, advice and mediation which steers away from ideology, its technical expertise, its track record in assisting policy processes and its "clear identity that seeks sustainable development with social equity" all contribute to its reputation.

The number of responses referring to partnerships, alliances and relationships with different constituencies (14.7% of responses) confirm the notion that policy influence is greatly enhanced by collaboration between likeminded and sometimes diverse stakeholder groups within and external to IUCN. The Commission and Member networks are obvious and frequently noted examples. Other groups include donors, external formal networks, the indigenous movement, and informal alliances and relationships built around specific themes.

The commitment of its staff and volunteer networks is well known and appreciated for its contribution to IUCN's success, including in the policy arena (7.4% of responses). Another 7.4% observe that effective planning and the ability to identify a specific niche establish an important contributing factor to successful policy work in IUCN. Delivering results according to a well developed strategic plan; focus, legitimacy and clarity of purpose provided by a strategic planning process; allocating specific responsibilities; identifying niches that provide a comparative advantage; and integrating policy into component programme plans are all included in this aspect.

Other facilitating factors noted by informants are the greater synergies and collaboration within IUCN (5.3%); the opportunities provided by opening policy windows (5.3%); available financial resources (5.3%); the freedom to experiment (4.2%); interest by "non-traditional" constituencies such as the private sector (3.2%); IUCN's UN Observer status (2.1%); increased acceptance within IUCN of the importance of policy work (2.1%); its positions and frameworks (2.1%); its leadership style (2.1%); and its physical presence in Brussels and Washington and to a lesser extent in Nairobi (2.1%).

#### 4.5. Factors inhibiting policy work in IUCN

##### *Finding 17*

*While the lack of financial resources is the single most frequently mentioned, the vast majority of obstacles to effective policy influence in IUCN are perceived to be institutional, in particular*

- *the divergent views on policy engagement with "non-traditional" audiences such as the private sector (second most frequently mentioned);*
- *inadequate capacity in policy work;*
- *the tendency to work in "silos";*
- *lack of clarity on policy roles and processes;*
- *inadequate technical expertise in areas which are traditionally not well represented in IUCN; and*
- *lack of time (least frequently mentioned).*

*External contextual factors were noted in only 8.5% of responses.*

According to informants the majority of IUCN's financial support for policy related work is currently provided by limited core funds, although some programmes have successfully built

Table 8: Factors inhibiting the policy work of the IUCN Secretariat and Commissions

INHIBITING FACTORS	PERCENTAGE RESPONSES
Lack of financial resources	19.5%
Divergent views within IUCN on policy engagement	13.4%
Lack of policy capacity or understanding of policy paradigm	13.4%
Tendency to work in silos	12.2%
Deficiencies in the institutional system	11.0%
Deficiencies in IUCN's technical expertise in new areas	9.8%
Contextual factors	8.5%
Lack of time	7.4%
Other (fewer than 4% responses)	4.8%
<i>Total percentage</i>	<i>100.0%</i>
<i>Total responses</i>	<i>82</i>

policy components into project funding. It remains the most frequently cited obstacle to policy work (19.5% of responses; Table 8) and requires strategic attention by the IUCN leadership. As the 2003 External Review of IUCN has shown, the current funding model of IUCN drives opportunistic rather than purposeful work which can limit the effectiveness of IUCN in the long term.

Internal inhibiting factors are cited in 72% of responses, compared to 28% referring to factors related to the external environment and to resource constraints. The most frequently mentioned internal factors are the persistence of diverging views in IUCN on policy engagement strategies and priorities, and the lack of policy capacity in parts of the Secretariat and Commissions (13.4% of the responses in each case).

Identifying priorities for policy engagement is bound to bring controversy because of the vast arena within which IUCN can operate, and the diversity of its Members and constituencies. The diversity of its Members seems to hold back its involvement in certain critical issues as it hesitates to move forward in new fields where there are strong disagreements within the organisation.

Specific technical capacities needed to underpin and strengthen policy work are in cross-cutting areas such as socioeconomics and gender, and in areas where IUCN can show the importance of conservation to key audiences outside the sector. One of the four most frequently cited strategies for improving IUCN's policy work is the development of expertise to use its core competencies in work in sectors not traditionally part of its audience (13.5% of responses; Table 9). The capacity to understand the non-environmental policy environment is perceived to be weak, leading to resistance within IUCN to getting involved. Instruments such as the WTO are seen as more powerful than for example the CBD due to stronger implementation and enforcement mechanisms, and proponents argue that IUCN should know how to use these instruments to promote the environment in arenas linked to macroeconomic development, security, livelihoods and others. Similarly, building relationships with "non-traditional" government institutions, for example the Ministries of Finance or Planning, is seen as a priority for greater policy impact.

Aside from developing more coherence and synergy across the organisation, institutional issues revolve mostly around clarity on policy roles and processes (11% of respondents; Table 8). The recently released Secretariat Guidelines for IUCN's Policy Work developed by PBIA

should be helpful in resolving some, but a major issue remains the “disconnects” within the architecture underpinning policy work in IUCN. How do PBIA, the Multilateral Offices, Global Policy Programme and the Chief Scientist connect to one another and to the component programmes? How does the Corporate Strategies division fit into the policy work? How should the management of IUCN's multilateral interests be separated from bilateral interests? What role should the cross-cutting efforts in social policy, economics and gender play? How can the role of Council in policy work be structured to give more direction? How can Commissions and Members best be mobilised for this purpose?

These and many other institutional issues relate to how policy is defined in IUCN, what it wants to achieve through its policy work and how best to utilise or adapt its systems for this purpose.

Programme informants confirm what has been frequently highlighted over the years, most recently in the 2003 External Review of IUCN and in the 2004 Review of IUCN Commissions: working in “silos” prevents IUCN from capitalising fully on its comparative advantage as a Union. Proposals for better integration and coherence across IUCN (18.0% of responses) plead for a wide policy orientation across all programmes to avoid the perception that policy work in IUCN belongs to a small select group, and more collaboration on policy work across programmes. Programme informants ask for more complementary approaches and collaboration between IUCN components; more effective exchange of information and better understanding between programmes and sectors. Some call for a systematisation of the experiences in each programme to facilitate sharing and synthesis of results for strategic use across the organisation. Others propose the formation of networks and teams across global and regional programmes, and between regions, to draw expertise and knowledge from one another.

The programme informants regard strategies for more effective linkages between the regions and headquarters initiatives as of particular importance to further one another's policy work and develop shared understanding of issues, including greater coherence between PBIA and the Washington and Brussels offices in support of the work in the regions. Available expertise that can support programmes in cross-cutting fields such as law and communication is often not tapped.

**Table 9: Areas of intervention proposed by programme informants for improvement of the policy work of the Secretariat and Commissions**

KEY INTERVENTION AREAS	PERCENTAGE RESPONSES
Improve planning, including developing clearer vision and focus (50%); better plans and planning processes (30%); better intelligence (20%)	22.5%
Improve policy expertise, including strengthening capacity to do policy work (47.4%); specific technical capacities (36.8%); understanding of policy concepts (15.8%)	21.3%
Develop more integration and coherence across IUCN	18.0%
Develop capacity and leadership in non-traditional areas	13.5%
Muster more financial resources for policy work	9.0%
Improve institutional systems	9.0%
Strengthen partnerships, alliances and relationships	6.7%
<i>Total percentage</i>	<i>100.0%</i>
<i>Total responses</i>	<i>89</i>

Other inhibiting factors cited with less frequency (Table 8) include the limited time available to initiate or follow up strategically on promising policy activities; a lack of focus and clarity on what IUCN wants to do with its policy work, the lack of availability of policy related material in languages other than English; and the lack of an effective monitoring and evaluation system aimed at helping programmes to improve their policy work.

***Finding 18***

*Programme informants' proposed areas of intervention for the improvement of their policy work are in order of frequency mentioned are*

- *Improve policy planning by developing a clearer vision and focus, better plans and planning processes, and more intelligence (most frequently mentioned);*
- *Improve policy expertise, in particular strengthening the capacity to do policy work and specific technical capacities in policy work;*
- *Ensure more integration and coherence across IUCN;*
- *Build greater capacity and leadership in new areas;*
- *Muster financial resources;*
- *Improve the institutional systems underpinning policy work;*
- *Strengthen partnerships, alliances and relationships (least frequently mentioned).*

Programme informants suggested strategies for improving the policy work of the Secretariat and Commissions (Table 9) that correlate well with addressing the inhibiting factors.

It is therefore somewhat surprising that improved planning, although not specifically mentioned on the list of inhibiting factors, is identified as the best instrument through which to improve policy work in the Secretariat and Commissions (22.5% of responses). There are strong calls for a clearer policy vision and more focused policy efforts, including a policy framework and clear outcomes that can guide where IUCN wishes to invest its time and resources in a given period.

Programme informants also ask for a stronger emphasis on making the policy-practice loop work; more systematic and strategic planning for policy influence; more strategic collaboration with Members in planning policy interventions; better information systems that can inform policy planning; and monitoring and evaluation systems that can help to improve policy performance.

## **5. FINDINGS: PLANNING FOR POLICY INFLUENCE**

### **5.1. IUCN's approach to planning for policy influence**

How do the IUCN Secretariat and Commissions plan their policy work? Are the methods rather ad hoc, leading to results based on seizing opportunities when policy windows open, or responding to requests for input and assistance? Or are they based on a clear understanding of how to influence policy, with clearly articulated outcomes, explicit theories of change and purposeful approaches? What was the basis for decisions about which policy outcomes to pursue in each programme and for IUCN overall? Should managers be encouraged to change their attitudes and approach to planning in order to enhance their policy influence?

Several open-ended questions gave programme informants the opportunity to explain their approach to planning. The responses were coded and analysed per programme group, and illuminating comments noted. Programme planning terms were used and defined where necessary (for example “programme theory”, “theory of change”, “theory of action”, logic model”). Review of planning documents and observations of the Review team based on earlier experiences confirmed patterns that emerged.

***Finding 19***

*Strategic planning for policy work is often rudimentary and not systematic enough to develop theories of change, contributing greatly to the overarching impression of significant but scattered policy influence activity, with many programmes trying to be “all things to all people” without a clear idea of what is to be achieved in the long run.*

All programmes do some form of strategic planning, even if rudimentary, often in consultation with committees and advisory groups. Most identify gaps and opportunities and articulate intended results. Some do prioritisation of activities as part of their planning. For the current Intersessional period, retrofitting of component programme plans to the IUCN Programme was common. This was accompanied by a proliferation of outcome statements, often somewhat vaguely phrased and indicating activities, outputs or strategies rather than desired changes in attitudes or behaviour. However, the evolution in programme planning processes for the 2005-2008 Intersessional period provided for more systematic approaches informed by the IUCN Programme structure and planning processes.

Nine of 22 responding programmes confirmed that they largely lacked a systematic, strategic approach to their policy planning. Two thirds were Regional Programmes, with several indicating that they lacked the capacity to follow rigorous planning methodologies. Some programmes clearly have a well worked out strategic approach to their policy work, but only four use logframes or similar more rigorous planning methodologies to clarify their theories of change.

Formal situation analyses informing their priorities and outcome statements were not generally used in the current Intersessional period, but have been promoted and used more frequently in the 2005-2008 Programme planning processes.

***Finding 20***

*There is overwhelming support in IUCN programmes for purposeful and explicit planning of policy work while allowing flexibility for opportunities when policy windows open, although a significant number of Regional programmes prefer a more opportunistic approach.*

Table 10 shows that senior managers in the IUCN Secretariat and Commissions are either highly supportive of purposeful, explicit planning of policy work with some flexibility (43%), or advocate purposeful and explicit planning with a good measure of flexibility and innovation that can capitalise on emerging opportunities (43%). Only 14% argue for an approach based mostly on opportunism.

The responses for the programme groups showed little difference between them, although three quarters of the programmes arguing for a more opportunistic approach were Regional programmes. This is likely to be due to the frequent need for Regional programmes to respond to requests for assistance from regional, national and local initiatives.

Table 10: Programme informants' opinions of different planning approaches for policy influence

ADVOCATES OF A PURPOSEFUL, EXPLICIT APPROACH WITH SOME FLEXIBILITY	ADVOCATES OF AN APPROACH BALANCED BETWEEN PURPOSEFUL PLANNING AND OPPORTUNISM	ADVOCATES OF AN OPPORTUNISTIC APPROACH
Experience shows increased chance of success when based on clear, concrete underpinning planning process	Too much emphasis on planning can lead to lost opportunities to intervene in important spaces which were not visualised at the planning stage	Planning already defines the limits of the intervention
Essential when interventions have to inform best practice	Too much emphasis on planning can prevent programmes from capitalising on emerging opportunities when policy windows open	Structured planning might limit IUCN's sensitivity to signals from its environment that lie outside its planned approaches
Essential when clear targets have to be influenced, such as events or convention meetings	A programme vision and steps to achieve policy influence are fundamental, but the flexibility and reaction capacity should exist to answer to unexpected events and adapt to obstacles and contextual changes	Formal mechanisms can push implementers to approaches that are too structured and limiting
Brings clarity on desired outcomes, priorities, strategies, resource allocation, delineation of responsibilities, strengths and weaknesses		IUCN should remain focused on sharing experiences and knowledge, and not on lobbying and advocacy which usually accompanies proactive efforts to influence policy
Brings focus where efforts otherwise will be too scattered		Client and donor requirements make it impossible to plan ahead effectively
Helps to establish framework within which to identify emerging opportunities, opening policy windows, changes in context and effective agenda setting		
Enables proactive use of data and information to convince policy makers, and raising of issues of which they might not be aware		

## 5.2. The rationale for policy outcomes

What drives decisions about which changes IUCN programmes want to pursue in the world, for example in a given Intersessional period? An open-ended question with a set of examples was used and as before, responses were coded and grouped into relevant categories per programme group.

### ***Finding 21***

*IUCN programmes use systematic scoping and analysis of the external environment within which they operate in only 15% of cases to determine policy priorities or outcomes, the IUCN Programme framework in 7.5%, and the IUCN Resolutions and policy positions in fewer than 7.5% of cases. They depend in at least half their efforts on expertise in the form of*

- *their own judgment of priorities;*
- *own field project experiences;*
- *input by the Policy and Global Change Group;*
- *consultative processes such as visioning;*
- *targeted interviews; and*
- *needs assessments and surveys.*

The main instruments and processes used by the Secretariat and Commission programmes to plan the outcomes of their policy work were grouped into eight categories (Table 11). Analysis by programme group showed that the mobilisation of expert opinion from within and outside the Secretariat and Commissions was the basis for the identification of the policy outcomes of many of the programmes (50.0% of responses; Table 12). They consult within their own constituencies (Secretariat staff and Commissions), and sometimes with Members and external audiences, especially in the Regional programmes.

As the number of responses was relatively low per category, trends are not clear. The responsive nature of Regional policy efforts compared to other programme groups appears to be underscored. The Global Thematic programmes use a more diverse array of methods, and together with the Commissions is also the group that makes the most use of some form of situation analysis. This method normally provides the most systematic input for the planning of outcomes, yet seems underutilised when IUCN's strength and reputation for credible, systematic data gathering and analysis is taken into account.

### 5.3. Basis for policy conclusions

On what basis does IUCN formulate its policy conclusions? Where does the information and knowledge for this purpose come from? Is IUCN an "integrating and synthesising" organisation? How dependent is it on its own field work to inform its policy conclusions (and

Table 11: Categorisation of the main methods used by Secretariat and Commission programmes to plan the outcomes of their policy work

CATEGORY	METHODS INCLUDED IN THIS CATEGORY
Internal expertise and experiences (of the Commissions and Secretariat)	Mobilisation of own and other internal IUCN Commission and Secretariat expertise and experiences, including (i) own understanding of the key issues; (ii) advice from the PGCG; (iii) field project experiences; (iv) own judgment of priorities
Internal and external expert opinion	Mobilisation of internal and external expert opinion (without a specific focus on either internal or external expertise), including (i) consultative processes, such as visioning; (ii) expert opinion and advice; (iii) targeted interviews; (iv) needs assessments and surveys; (v) consultation with Members
Situation analysis	Some form of systematic scoping and analysis of the external environment within which a programme operates
IUCN Programme	Guided by the IUCN Programme framework
IUCN frameworks and positions	Guided by IUCN frameworks and positions, including (i) the IUCN Mission; (ii) IUCN Resolutions and policy positions; (iii) Commission mandates
External frameworks	Use of frameworks of other initiatives / organisations
Response to client needs	Responsive, needs-driven approach
"Tradition"	Continuation based on what has been done before

Table 12: Frequencies of the main methods (n=40) used by Secretariat and Commissions programmes to plan the outcomes of their policy work, per method category \*

METHOD CATEGORY	PROGRAMME GROUP				
	Thematic	Regional	Commissions	Multilat./ Global	Total
Internal expertise	5.00%	12.50%	7.50%	-	25.00%
Int./External expert opinion	2.50%	15.00%	5.00%	2.50%	25.00%
Situation analysis	5.00%	-	5.00%	5.00%	15.00%
Response to client needs	2.50%	10.00%	-	-	12.50%
IUCN Programme	5.00%	2.50%	-	-	7.50%
IUCN frameworks / positions	2.50%	-	5.00%	-	7.50%
External frameworks	2.50%	2.50%	-	-	5.00%
"Tradition"	2.50%	-	-	-	2.50%

\* For definition of categories refer to Table 11

eventually its policy positions and statements)? These questions are an integral part of understanding how IUCN manages its knowledge to inform its policy work.

We had hoped to find answers to these questions through a question formulated to provide a short checklist of choices for respondents (the only one in the instrument), while still leaving an opportunity for them to add alternatives and comment on their selection.

### ***Finding 22***

*Programmes' perspectives on how they arrive at policy conclusions are inconclusive, but they generally use a combination of own results and lessons from field work (92.6% of responses), expert advice (88.9%), systematic synthesis of information from within IUCN (66.7%), and including external sources (70.3%).*

### ***Finding 23***

*Several programmes confirmed that their mechanisms to obtain and synthesise information for policy conclusions were weak, especially when taking findings from projects to policy level, from country to regional and from regional to global level, and vice versa.*

This analysis could not yield satisfactory results without a more extensive investigation of exactly how, and how effectively, different sources are used by Secretariat and Commissions programmes to arrive at policy conclusions.

All programmes confirmed that they use several sources and methods. Thirteen of the 27 responding programmes (48.0%) use all four given sources of information (own results and lessons from field work; expert advice from within and outside IUCN; synthesis from different sources within IUCN; synthesis including sources outside IUCN). There is a preference for lessons from field work (92.6% of responses) and the use of expert advice (88.9% of responses) over systematic synthesis using different IUCN sources (66.7% of responses) and external sources (70.3% of responses).

The Asia Biodiversity Programme uses the outcomes of global meetings, follows the results of relevant work within IUCN, holds regular discussions in regions to learn from the country programmes, and embarks on exercises to analyse and learn from these experiences. The Economics and the Environment Programme depends strongly on literature and external experiences. The Gender Programme draws from the expertise of learning communities on

the Internet. PBIA essentially relies on the mechanisms of the other programmes and on external networks such as those mobilised for trade by CEESP-GETI via ICTSD and their network. For WCPA their Best Practice Guidelines series offers unique opportunities to learn and develop policy conclusions, which are then tested extensively with members and partners. CEESP uses multi-stakeholder analysis and mobilises indigenous knowledge, using “community experts” to stimulate discourse between different knowledge systems to reach policy conclusions.

#### 5.4. Tracking policy influence

##### ***Finding 24***

*There are very few systems in place to track or help assess the policy influence of individual programmes or for IUCN overall, and thus few feedback loops which can help IUCN to improve its policy work.*

None of the programmes use systematic methods to track their policy work. A few have some basic mechanisms for this purpose, for example the Gender programme which has implemented in Mesoamerica a basic monitoring system to help assess their influence. The SSC and Pakistan Country Programmes have conducted some relevant evaluations, while some Regional programmes, notably in Asia and in SUR, are starting to develop systems to monitor their work. However, the vast majority of programmes depend on informal and opportunistic feedback for sporadic indications of policy influence using their networks, reports and project milestone assessments.

Many programmes indicated that a more systematic approach was desirable. Several programme informants confirmed their support for the development of an organisation-wide system that could enable them to monitor, evaluate and improve the influence of their policy work.

##### **Box 5: The Green Thread Approach to Policy Influence - An Example to follow?**

In the late 1990s the Forest Conservation Programme began to implement a strategy of joint programming with the regional forest programmes. This resulted in greater programmatic cohesion between regions and between regions and headquarters on forest issues at a Secretariat level. The generation of knowledge was now more strongly rooted in capturing field-based lessons than in expert-driven processes. The nature of the generated knowledge also shifted from strongly technical to a mixture of technical, social and institutional, reflecting a growing awareness of the practical need to demonstrate how to implement ecosystem management. It was during this period that the programme started to address international forest policy issues more actively and “hardwired” its operational approach of linking policy to practice.

With increased engagement in international forest policy initiatives the teams involved recognised that the programme could easily be overwhelmed if it attempted to follow every forest-related policy process. It was therefore decided to take an issue-based rather than a forum-based approach – the *Green Thread* approach - with IUCN providing governments and civil society with a targeted and consistent message on key issues such as protected area management effectiveness, community involvement in forest management and forest landscape restoration.

*Green Thread approach to international policy and advocacy:*

- One organising theme – Livelihoods and Landscapes
- Main thrust: Linking forests and poverty and sustainable development agendas with practical solutions
- Issue and not forum driven
- Seamless advocacy effort
- Taking one message and set of recommendations into the most relevant and important international and regional meetings, using “ruthless prioritisation”
- Includes a number of innovative and purposeful strategies

Challenge: To stay ahead of the curve in future, for example linking the poverty/forests focus into governance, security and conflict agendas

## 6. FINDINGS: IUCN AND THE POLICY CYCLE

### 6.1. The policy cycle

A policy is the result of a “policy-making process”, a broad concept that encompasses a range of dynamics at different levels. It usually consists of a complex set of processes which leads to governance and management frameworks and systems. It is an iterative, dynamic course of action that can be embodied in a “policy cycle” consisting of a number of defined process components. The policy cycle draws attention to the steps needed to develop a policy, determine whether it is achieving its intent and adjust its content. Without a complete description of the policy cycle, this cannot be done.

The concept of a “policy cycle” seems to imply processes that proceed smoothly, in a sequential and rational, logical fashion, but this is generally far from the complex dynamics of real life situations. The “linear” model of policy-making on which the concept of a policy cycle is based, is therefore criticised as being too static and not reflective of the reality the policy process / cycle as a societal process with all of its complexities and interactions. At the same time the cycle visualises the importance of all aspects of the process and allows the assessment of non-linear relationships and interactions. Supporting institutional processes, including planning and funding, are often cyclic and/or linear. For an organisation like IUCN, the cycle can thus facilitate the strategic targeting of actions and outcomes and the visualisation of strategic weaknesses. Reviewing policy activities in the context of a full policy cycle framework recognises that there are weak links which could provide priorities for strategic action.

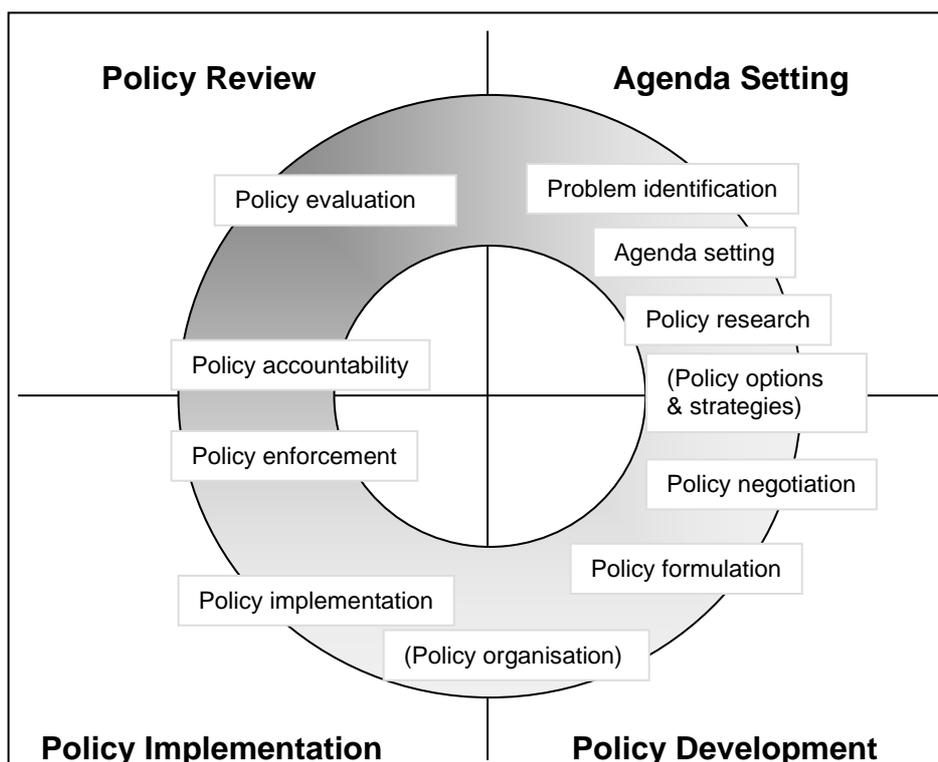
This approach is also in line with one of the key initiatives proposed by the UNEP GEO-3 assessment to set a sustainable course for the next 30 years and beyond. The fragmentation, duplication and overlap in current international environmental agreements and the need for integration of environmental policies with other sectors are shifting attention more and more to the need to streamline policy-making processes. According to the GEO-3 assessment these processes for the environment “need tightening to become more rigorous, systematic and integrated, turning out policies tailored for specific localities and situations”<sup>9</sup>. The study therefore proposes the strengthening of the policy cycle as one of the key initiatives for the future.

A detailed set of discrete components was used to define the policy cycle for this Review logically grouped into four stages (Box 6; Figure 2) according to the expertise sets and capacities required to execute each of the stages. Informants were asked to select from the list of policy cycle components those components in which their programmes were active. In keeping with the rest of the Review, the policy cycle data did not refer to IUCN's development of its own policy positions and resolutions, but to the external policy processes that IUCN wants to influence. An important aspect that was not included in the data collection but which appears as an important part of IUCN's strategies as it moves into the future, is the *positioning* of the organisation to participate in the policy-making cycle.

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<sup>9</sup> United Nations Environment Programme. 2002. Global Environment Outlook 3: Past, Present and Future Perspectives. Earthscan Publications. London. p 405.

Figure 2: The Policy Cycle



#### Box 6: The components of the policy cycle used for the Review

Problem identification	Assessment of problems that need to inform the policy
Agenda setting	Development of the policy agenda, including convening of meetings beforehand to inform the agenda
Policy research	Research on policy, and research informing policy (options), including synthesis of technical knowledge for a specific purpose
Policy negotiation	Multi-stakeholder negotiations before and/or after policy formulation
Policy formulation	Formulation of policies, including participation in drafting and advisory committees
Policy implementation	Implementation of policies, including building capacity for implementation and guiding policy implementation processes and initiatives
Policy enforcement	Implementation of strategies to enforce compliance, for example setting legal standards for establishing binding rules of conduct, persuasion through "improvement notices", and prosecution based on legal standards
Policy accountability	Monitoring of implementation and compliance
Policy evaluation	Evaluation of policies for <i>i.a.</i> effectiveness and efficiency, and assessment of the processes to arrive at the policy
Policy review	Reviewing policies for improvement, using research and monitoring and evaluation information

**Finding 25**

*IUCN's policy influence efforts focus much more frequently at the front end (Agenda Setting and Policy Development; 68.3%) than at the back end (Policy Review; 15.5%) of the policy cycle, driven by*

- *the need for early influence of policies*
- *traditional strengths such as fact-finding, collating information and publishing*
- *field work experiences that support problem identification, and*
- *IUCN's comparative advantage in convening, networking and providing technical advice.*

Informants recorded 68.3% of their responses at the front end of the policy cycle, with 16.2% and 15.5% focusing on Policy Implementation and Policy Review respectively (Table 13). The programmes tend to be most often involved in agenda setting (16.2%), policy formulation (16.2%) and policy implementation (16.2%). There is almost no activity in enforcement (3.3%), accountability (4.9%), evaluation (3.3%) and review (4.1%).

These figures should be considered with some caution as the informants did not rank their responses according to level of effort. However informant comments and examples of as well as our own assessment based on the key initiatives confirm that these responses are a good indication of where IUCN's involvement on the policy cycle lies.

Informants from all three programme groupings give similar reasons for their strong emphasis at the front end of the cycle. They see a need to enter the policy-making process as early as possible in order to ensure that their viewpoints are taken into account during policy formulation. There is a tendency to focus on traditional strengths such as fact-finding, collating information and publishing. IUCN's involvement in field work provides a greater scope for problem identification and approaches that can inform policy agenda setting. Work at the front end also lends itself to facilitation, networking and the provision of technical advice – thus making good use of IUCN's comparative advantage.

**Finding 26**

*The programme groups have somewhat different emphases on the policy cycle: Global Thematic programmes are more proactive in influencing agendas and have little involvement in policy implementation; Regional programmes are more dependent on local contexts and priorities and are somewhat more active than other programme groups in the Policy Review stage; and Commissions are most active in influencing policy agendas through their technical expertise.*

**Table 13: Frequency of the simplified policy cycle stages recorded per IUCN Secretariat and Commissions programme group**

PROGRAMMES	POLICY AGENDA	POLICY DEVELOPM	POLICY IMPLEMEN T.	POLICY REVIEW
Regional	20	16	9	12
Global Thematic	13	9	4	5
Commissions	12	5	6	1
Multilateral and other	4	5	1	2
Total responses (n=123)	49	35	20	19
Total percentage	39.8%	28.5%	16.2%	15.5%
	68.3%			
	FRONT END			BACK END

**Finding 27**

*Policy implementation is not regarded as part of IUCN's mandate and its efforts in this area focus on the provision of guidance, tools and capacity building for policy implementation by others.*

Programmes try to focus on the part of the policy cycle where dynamic processes take place, where their comparative advantage can be put to best use for the greatest influence and where they have the best expertise. The majority of programmes are most frequently active in agenda setting. At a global level IUCN has been well recognised over past decades for its work in helping to set agendas and formulate the content of important new agreements. The Commissions and Global Thematic programmes appear somewhat more proactive in starting new discourses and stimulating dialogues than the Regional programmes.

Of all groupings the Multilateral and Global Thematic programmes have the least involvement in the Policy Implementation stage. Secretariat and Commission involvement in implementation centres on the provision of support to others to implement policies rather than direct engagement in implementation. They provide encouragement, guidance and tools, and build capacity.

Of the three programme groups, Multilateral and Regional programmes have more activity in Policy Development than other programme groups. Regional respondents noted that their focus is often determined by requests for assistance and technical input from governments at various levels in the regions, making their policy emphasis largely dependent on the policy priorities at the country level. Regional programmes also more frequently cite components at the back end of the policy cycle. According to informants they are often requested by developing country governments to participate in ongoing review processes aimed at changing outdated colonial and other policies.

The Commissions have little activity at the back end of the policy cycle (cited in 8.3% of their responses). They are mostly involved in the Policy Agenda stage (cited in 50.0% of their responses) where the key expertise needed is the ability to provide credible and convincing technical information.

The programmes have similar, compelling motivations for focusing their activities on specific components of the policy cycle (Box 7). The most frequently cited are existing programme capacities and expertise, proactive quests to exert influence at the most valuable points in the cycle, opportunities, and shifts in the policy environment (for example from the establishment of agreements to the need for effective implementation).

**Box 7: Factors determining the involvement of the IUCN Secretariat and Commissions in specific components of the policy cycle**

- Existing capacities and expertise
- Proactive quests to exert influence at the most valuable points in the cycle
- "Moments of serendipity" and opportunity when policy windows open
- Shifts in the policy environment, for example from the establishment of agreements to the need for effective implementation
- IUCN's comparative advantage
- "Comfort zones"
- The guidance given by Congress Resolutions
- Opportunities to translate field experiences into policy and vice versa.

## 7. FINDINGS: MECHANISMS AND INTENDED OUTCOMES TOWARDS POLICY INFLUENCE

### 7.1. Influencing policy<sup>10</sup>

A substantial body of work has been published on how policy-making processes are influenced. Many of the concepts and mechanisms used are relevant to IUCN's policy work. We give a short summary of some of these only to highlight the complexity of analysing policy influence mechanisms and outcomes. Mechanisms described at the level of those given in the next section will hardly bear any relationship to the mechanisms alluded to here. Such relationships will become apparent only when the policy influence mechanisms and the contexts in which they were used, are analysed in greater detail. This will be a product of the case studies in Phase II of the Review.

Much of IUCN's work is based on the use of specialist knowledge, and studies on "*knowledge utilisation*" in policy-making are therefore very relevant to IUCN. They analyse the significant difference in attitudes, needs, cultures and values between the "knowledge producers" and the "knowledge consumers", *i.e.* the policy-makers. Carol Weiss postulated the concept of "*enlightenment*" of policy makers, where research exerts policy influence through diffusion and "percolation" of ideas and concepts rather than through hard facts and robust theories, influencing policy over longer periods by altering the language and perceptions of policy makers and those who influence them.

The concept of "*policy inquiry*" was later introduced by Evert Lindquist, taking it beyond research to include a range of convening activities that foster the exchange and dissemination of ideas. Sabatier took this concept further and used the idea of "*advocacy coalition frameworks*" to argue that observers should identify coalitions competing for attention and influence in the policy arena. Policy communities should be understood in terms of beliefs and values, and advocacy coalitions will therefore be formed based on the bonds and relationships between those who share values and beliefs.

The influence of informal and formal *professional and personal networks* can be subtle but critical. Colleagues with different affiliations can hold similar positions and share values, forming important mechanisms for policy transfer, using relationships and capacities built among key individuals to absorb and transfer policy ideas from outside their immediate jurisdiction. Convening power is particularly useful to bring such networks together, either face-to-face or on-line. Significant work has also been done on how change happens in policy networks, and what internal and external forces affect these networks. Structural adjustments and policy change in certain domains can spill over into others (in the case of IUCN, for example, macroeconomic policy changes can impact on the environmental sector). Networks can converge as issues overlap or merge. Internal change, conflict and competition within and among policy networks can result in policy influence as networks and advocacy coalitions search for new evidence, arguments and strategies to sway policy-makers.

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<sup>10</sup> This section extracted from Neilson, S. 2001. IDRC-supported Research and its Influence on Public Policy. Knowledge Utilisation and Public Policy Processes: A Literature Review. Evaluation Unit. December. IDRC. Ottawa. Canada.

Why do some policy alternatives move into government, public or corporate agendas while others do not? Kingdon argues that several *streams of activity and opportunity* can shift alternatives higher on the agenda;

- (i) the *problem stream*, where interest groups seek to have issues recognised as important social and other problems;
- (ii) the *policy stream*, where policy experts debate and keep informed about important policy issues, evolving viewpoints and conclusions that will be offered when policy-makers seek advice; and
- (iii) the *political stream*, where changes in regime shift the balance in power, or make them fall in or out of favour. Leaders also look for issues to champion, and support for a particular issue can quickly move it up the agenda.

If there is a confluence of several streams, “*policy windows*” open that enable change to occur. Lindquist notes that “policy advocates” and “policy entrepreneurs” (advocates who are committed to certain causes and solutions, who are adept at reading the policy environment, and who through good positioning can obtain significant policy change) ready themselves for opportunities that may arise, but often do not.

A model recently used by the Overseas Development Institute focuses on

- the roles of external influences (socio-economic and cultural influences, donor policies, etc.);
- the political context (political and economic structures and processes, culture, institutional pressures, incremental vs radical change etc);
- the linkages between policy and research communities (networks, relationships, power, competing discourses, trust, knowledge etc.); and

#### Box 8: Definitions and examples of categories of mechanisms used by the Secretariat and Commissions to influence policy

##### *PROVIDING KNOWLEDGE*

###### **Provide technical advice to policy processes**

This is the simplest of IUCN's knowledge strategies and may be as informal as participating in a meeting and offering advice, or as formal as making a structured intervention in a UN process. For example, the Forest Conservation Programme offered technical advice to the World Bank on its Forest Strategy by providing written comments on various drafts of the policy.

###### **Mobilise, analyse and synthesise knowledge to provide authoritative texts on a specific topic**

IUCN is often requested to provide the best possible knowledge or analysis on a specific topic. Here, the emphasis is on the gathering knowledge from many sources, analysing, synthesising and disseminating the knowledge. For example, the Mediterranean Cooperation Office presented information papers on sharks and invasive species to technical meetings of the Barcelona Convention.

###### **Generate knowledge through own field work**

IUCN provides knowledge generated by itself from its field work. For example, CEM develops case studies on the Ecosystem Approach to demonstrate the utility of that approach.

###### **Develop methods and tools to facilitate the formulation, implementation or revision of policy**

IUCN produces methods and tools based on its experience to facilitate the development, adaptation or implementation of policy. For example, its Senior Advisor on Gender has developed methods and tools to build capacity in gender among governments in Mesoamerica.

###### **Conduct policy research on existing policies to identify weaknesses and opportunities**

IUCN undertakes research on a specific policy issue to determine gaps or opportunities. For example, CEL routinely undertakes legal review on a variety of topics to discover gaps in policy or legislation and shortcomings in implementation.

#### **Study and promote emerging areas**

IUCN scans the environment for emerging issues likely to become key issues in conservation and the environment related to IUCN's mission, and promotes awareness and interest in these within and outside IUCN. The work of the Chief Scientist and the 3I-C Fund projects fall into this category.

### ***SUPPORTING EMPOWERMENT***

#### **Convene meetings of multiple stakeholder groups to discuss issues and develop shared views and commitments**

IUCN convenes meetings of multiple stakeholder groups, including civil society, non-governmental, inter-governmental and governmental actors. As a neutral convener, IUCN can focus a discussion on technical matters and avoid the politics of official policy processes in which governments negotiate with each other. For example, PBIA has convened a series of meetings on forests and carbon sinks to discuss technical aspects of carbon sequestration essential to meeting obligations under the UNFCCC and Kyoto Protocol.

#### **Form partnerships towards a common policy goal**

IUCN forms partnerships, either with traditional partners (environment, conservation organisations) or with non-traditional partners (private sector) to achieve a policy outcome or goal. For example, the Business and Biodiversity Unit partnered with the WBCSD and Earthwatch Institute (Europe) to support the development of tools that will help industry integrate biodiversity considerations into their work.

#### **Utilise networks to share expertise and further specific policy goals**

IUCN uses its existing networks (Members, Commission members) or participates in external networks to further its policy goals. For example, CEL uses its Commission Members to foster a global community of experts on environmental law, which in turn can support a variety of policy outcomes including policy research and formulation. CEC used its Commission Members who hold the dual roles of government representative and Commission member to influence Parties to the CBD to promote a work programme relevant areas.

#### **Build capacity to engage in the policy process**

IUCN builds the capacity of stakeholders to engage in the policy process. For example, in Asia Region, capacity building is a key strategy for increasing capacity of stakeholder to participate in policy processes and the capacity of decision-makers to understand and promote regional and international agreements that impact biodiversity.

#### **Support policy implementation**

IUCN is often asked to support the implementation of policies, often through building capacity for this purpose. For example, in the Asia Region IUCN supports the implementation of pro-poor community based implementation of protected areas management plans. It does this as part of its effort to ensure that governance structures allow for equitable participation in decision making regarding biodiversity conservation and human development.

### ***STRENGTHENING GOVERNANCE***

#### **Advocate specific policy positions using a variety of forums and opportunities**

IUCN advocates a policy position in different policy forums. For example, IUCN in Europe is advocating through the Countdown 2010 process to include biodiversity conservation in EU treaties and legislation, to pay more attention to biodiversity and to implement existing legislation.

#### **Contribute to policy formulation**

IUCN is often asked to provide draft text for treaty or policy processes. For example, CEL has contributed text to a wide range of international environmental agreements.

### ***POSITIONING IUCN***

Several mechanisms focus on positioning IUCN to have influence in the policy arena. This includes the work done by a number of programmes at the WSSD.

- the evidence presented (its credibility, the degree it challenges received wisdom, research approaches and methodology, simplicity of the message, how it is packaged etc.)

The way in which policy decisions are made also has profound implications for the potential that mechanisms for policy influence have under different decision-making regimes:

- (i) *Routine decision regimes* aim to adapt existing frameworks and programmes to emerging conditions but do not question the underlying logic and design. Data are gathered and analysed to feed and modify existing parameters, and policy-makers will not be receptive to efforts to question their underpinnings.
- (ii) *Incremental decision-making* “deals with selective issues as they emerge, but does not deal comprehensively with all constituent issues associated with the policy domain”. This implies that policy-makers will be receptive to alternatives and compromises that address selective issues and not total rethinking of existing policies.
- (iii) *Fundamental decision-making* takes place when there are (infrequent) opportunities to re-think approaches to policy domains. This provides space for debate and knowledge generation that addresses and even challenges the underpinnings and logic of existing decision regimes.

## 7.2. Mechanisms for influencing policy

A challenge for the Review was to work at the level of detail that would provide useful information without losing essential nuances. In several cases this was difficult to achieve without a more exhaustive study, including in the analysis of the mechanisms used and the outcomes pursued by IUCN in influencing policy.

Programme informants provided information about the mechanisms for policy influence they have used in each programme to try to achieve their intended outcomes, as well as for each of the key initiatives. Information collected through interviews was in most cases enhanced by a document review of the initiatives and programme strategies.

Every initiative or programme outcome had linked to it several mechanisms composing its strategy or strategies for policy influence. A total of 168 distinct mechanisms were identified - 87 for Regional Programmes, 48 for Global Thematic Programmes and 33 for Commissions. The data were coded to search for patterns in order to produce a set of policy influence mechanisms reflecting the information provided by the informants. A definition was developed for each mechanism in the set in order to create unambiguous categories, although at this level some overlap was inevitable (Box 8). Once the mechanisms were defined, categorised, the entire data set was re-coded and prepared for a frequency analysis. A search was done for outlier mechanisms, but all fitted into one or the other of the categories.

The limited time allocated to the Review prevented an analysis of mechanisms at a more detailed level. Working with synthesised categories of mechanisms meant that critical details were lost which would shed more light on precisely how the programmes try to influence policy. Combinations of mechanisms forming strategies and approaches aimed at particular situations were also not analysed. The case studies in Phase II will be particularly useful in filling this analytical gap.

### ***Finding 28***

In line with the IUCN Programme, the 14 main categories of mechanisms used by IUCN to influence policy can be grouped to reflect its Knowledge,

**Table 14: Frequency of use of mechanisms to influence policy, by programme group**

	REGIONS	GLOBAL THEMATIC	COMMISSIONS	TOTAL*
<i>Providing Knowledge</i>				
Provide technical advice	27.6%	33.3%	27.3%	29.2%
Mobilise and synthesise knowledge	26.4%	43.8%	24.2%	31.0%
Generate knowledge	9.2%	8.3%	21.2%	11.3%
Develop methods and tools	5.7%	8.3%	3.0%	6.0%
Conduct policy research	5.7%	10.4%	24.2%	10.7%
Study and promote emerging areas	0.0%	0.02%	0.0%	0.02%
<i>Supporting Empowerment</i>				
Convene stakeholders	31.0%	33.3%	27.3%	31.0%
Form partnerships	12.6%	20.8%	12.1%	14.9%
Utilise networks	17.2%	6.3%	42.4%	18.8%
Build capacity to engage in policy process	21.8%	16.7%	0.0%	15.9%
Build capacity for policy implementation	8.0%	8.3%	3.0%	7.1%
<i>Strengthening Governance</i>				
Advocate specific policy positions	12.6%	20.8%	24.2%	17.3%
Engage in policy formulation	12.6%	2.1%	15.2%	10.1%
Mobilise and position IUCN for effective policy influence	4.6%	8.3%	9.1%	6.5%
	n=87	n=48	n=33	n=170**

\* More than one mechanism can be linked to a particular initiative or programme outcome

\*\* Includes 3I-C Fund and IUCN's engagement at WSSD

*Empowerment and Governance strategy. One category focuses on positioning IUCN in the policy arena.*

### **Finding 29**

*Three key mechanisms are used most consistently and frequently by IUCN programmes to influence policy:*

- *Providing technical advice*
- *Mobilising and synthesising knowledge from different sources*
- *Convening stakeholders*

### **Finding 30**

*The most frequently used key mechanisms for influencing policy flow from the various elements that make up IUCN's comparative advantage over many other organisations, and in addition to the three mechanisms in Finding 29, include*

- *Utilising networks*
- *Advocating specific policy positions*
- *Building capacity for policy engagement*
- *Forming partnerships*

Table 14 provides a breakdown of the frequency with which mechanisms were cited towards achieving specific initiative or programme outcomes, while Table 15 ranks the most frequently used mechanisms by programme group.

**Table 15: Mechanisms for policy influence ranked according to frequency recorded by programme groups**

REGIONAL PROGRAMMES		THEMATIC PROGRAMMES		COMMISSIONS	
Rank	Mechanism	Rank	Mechanism	Rank	Mechanism
1	Convene stakeholders (31%)	1	Mobilise and synthesise knowledge (44%)	1	Utilise networks (42%)
2	Provide technical advice (27%)	2	Convene stakeholders (33%)	2	Convene stakeholders (27%)
3	Mobilise and synthesise knowledge (26%)	2	Provide technical advice (33%)	2	Provide technical advice (27%)
4	Build capacity for engagement (22%)	4	Form partnerships (21%)	4	Mobilise and synthesise knowledge (24%)
5	Utilise networks (16%)	4	Advocate policy positions (21%)	4	Conduct policy research (24%)
	n=87		n=48		n=33

Very few mechanisms were identified as being outside these categories:

- The Business and Biodiversity Unit has used an innovative mechanism by seconding an IUCN staff member to Shell to help address its biodiversity concerns in oil and gas extraction.
- IUCN-ORMA is positioning ALIDES, a Central American network for sustainable development, as a viable option for Central American integration.
- The Regional Office for Europe accepts secondments of staff from Member organisations in the hope of spreading awareness of IUCN's approach once the staff members return to their organisation.

The disaggregated rankings for Regional, Global Thematic and Commission programmes confirm the importance of the key mechanisms recorded in Table 16, while highlighting interesting differences. Not surprisingly, all programme groups have a strong focus on convening stakeholders, giving technical advice and mobilising and synthesising knowledge as a strategy in support of their policy outcomes and initiatives.

CEL which uses Specialist Groups to undertake policy research to remain on the cutting edge of environmental law. Regional programmes reflect the need to convene multiple stakeholders as well to build capacity through their work close to the ground. Global Thematic programmes are most active in mobilising and synthesising knowledge. A very specific and unique mechanism in support of IUCN's policy work is the 3I-C Fund (Box 9), which is intended to "catalyse innovation, promote integration, generate information and effectively communicate". In essence it allows IUCN to explore new issues and emerging areas strategically. It has a strong policy component.

### **7.3. The policy cycle and mechanisms for policy influence**

#### ***Finding 31***

*The deployment of IUCN's policy influence mechanisms confirms the strong focus at the front end of the policy cycle.*

### Box 9: The 3I-C Fund: IUCN's catalyst for change

The 3I-C Fund was established to provide a positive incentive system to help IUCN to adapt to a changing world and guide the course of future institutional programmatic work. In essence it supports a function that allows IUCN to determine its position on cutting-edge issues, or on issues with which IUCN has not traditionally engaged. It has the following intended outcomes:

- Catalyse innovation: either in an IUCN core competency area or in an area in which IUCN needs to further explore to determine how best to build competency;
- Promote integration: in terms of implementation through partnerships across IUCN's component programmes, in terms of contributing to results within the overall IUCN Intersessional Programme and by generating new projects for funding future work;
- Generate information and knowledge to be shared within and outside the organisation; and
- Deliver products and messages to effectively communicate the results and knowledge internally and externally.

Typically a 3I-C project will deliver a situation analysis and policy statement, as well as, more generally, communications products and project proposals. The first group of 3I-C projects addressed a diverse range of themes, including business, certification, climate change, conservation-poverty links, invasive species, knowledge management, extractive industries, the New Partnership on Africa's Development (NEPAD), the precautionary principle, protected areas, sustainable use and trade.

Generally all 3I-C projects combine policy research in order to help IUCN determine its position on an issue; position the organisation with regard to existing policy processes or forums; and in some cases begin to exert influence over the policy agenda. They have a variety of mechanisms aimed at influencing policies. Many of the projects undertake limited policy research to understand the issues, and generate knowledge through case studies or lessons learned, either from IUCN field projects or external examples and expertise. In some cases workshops or stakeholder processes are convened, sometimes in formal settings or in others according to the topic under consideration.

Table 16 gives an indication of where in the different stages of the policy cycle the key mechanisms for policy influence are deployed by IUCN. This characterisation is to some extent subject to interpretation as mechanisms overlap and nearly all can be deployed across the policy cycle, but a study of the mechanisms recorded for programmes confirm a focus at the front end and implementation stage of the cycle, rather than at the back end. Since the policy cycle in itself reflects IUCN's K, E and G strategies, the two can be integrated. The Review component corresponds with moving into the next cycle.

The diagram in Figure 3 also illustrates the use of a "spiral development" approach for specific policy initiatives where an adaptive project management approach should be used based on continuous assessments of the changing policy environment (This model is often used in the IT sector for large projects where uncertainty and risks are high, and user requirements evolve over the lifetime of the project). This approach would be of use for the management of a single policy thrust, but would not be effective for the broader societal policy framework.

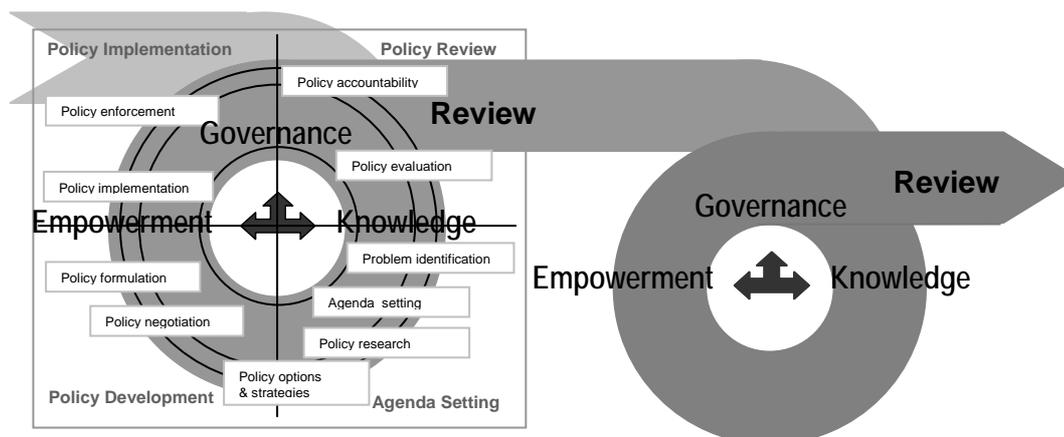
## 7.4. Linking policy and practice

The opportunity to link policy and practice through its own experiences within the organisation is widely regarded as one of the elements of IUCN's comparative advantage and one of the reasons for its credibility when providing technical advice and specialist knowledge. IUCN programmes are continuously encouraged to ensure that this is

Table 16: Main mechanisms deployed by IUCN at the various stages in the policy cycle

	AGENDA SETTING			POLICY DEVELOPMENT		IMPLEMENTATION		POLICY REVIEW		
	Problem Identification	Agenda setting	Research	Negotiation	Formulation	Implementation	Enforcement	Accountability	Evaluation	Review
<i>Providing Knowledge</i>										
Provide technical advice		X		X	X	X	X		X	X
Synthesise knowledge	X	X	X							
Generate knowledge	X	X	X			X				
Develop methods / tools						X	X	X	X	X
Conduct research	X	X	X						X	
Investigate emerging areas	X	X	X							
<i>Supporting Empowerment</i>										
Convene stakeholders	X	X	X	X		X				
Form partnerships	X	X	X	X		X				
Utilise networks	X	X	X	X	X					
Build capacity to engage				X				X		
Support implementation						X		X		
<i>Enhancing Governance</i>										
Advocate positions		X		X	X					
Engage in policy formulation					X					

Figure 3: "Spiral development" approach for policy initiatives



implemented in practice. IUCN needs to know how effectively its efforts are in drawing from practical experience to influence policy, and using policy frameworks to steer practice. Phase I of the Review could not determine the effectiveness of the efforts, but instead focused on perceptions of the importance of the principle to programme management, and on the mechanisms used to strengthen the policy-practice loop.

Some of the mechanisms linking policy and practice overlap, but were noted separately to demonstrate different emphases in approach. Informants interpreted "practice" as a much broader concept than project field work, including for example interaction with the private sector and governments as opportunities for sharing from their realities and practice.

### ***Finding 32***

*Although the vast majority of programmes believe that linking policy to practice is very important to their work, there is considerable weakness in this area, especially in using field work appropriately for learning lessons and synthesising these for use across the organisation.*

Programmes most frequently link their practice to policy through sharing of experiences and lessons (48.1%; Table 17), usually holding meetings between project and programme staff and sometimes including external stakeholders. A significant number of programmes do not follow this up with systematic documentation, synthesis and use of the results. They generally consider the implementation of this mechanism to be weak, failing in systematically translating practice to useful policy input. Few programmes have developed case studies with policy objectives in mind, or have designed project frameworks to test hypotheses. This was confirmed by the meta-evaluation conducted by the M&E Unit in 2003.

Only one programme mentioned its facilitating role in bringing diverse stakeholders together to enable them specifically to develop a shared understanding of critical policy issues. The Secretariat is well positioned to fulfil this convening role. This aspect might be underrepresented in informants' comments due to a narrower interpretation among certain programmes of "practice" as field work projects only. Some informants considered "practice" to refer to field work done by the Secretariat. Others regarded it as (also) drawing from the experiences of other organisations. Most seem to focus on field work in a development, community context. Others include work with governments and the private sector as "practice".

**Table 17: Mechanisms most frequently used by the Secretariat and Commissions to link policy and practice**

MECHANISMS	PROGRAMMES* (n=27)
Share experiences to learn from field work (i) mainly through meetings of project and programme staff, frequently with external stakeholders; (ii) in some cases documentation and synthesis – often not systematic	13 (48.1%)
Use Commission and Specialist Group networks to synthesise experiences from variety of contexts	7 (25.9%)
Develop case studies and design projects to contain a policy component, test hypotheses	5 (18.5%)
Establish linkages with Members that facilitate access to their experiences	2 (7.4%)
Develop close partnerships with governments and donors to analyse opportunities for implementation	2 (7.4%)
Establish linkages with the private sector that bring them to interact on experiences and issues at select forums	1 (3.7%)
Exchange experiences with external networks	1 (3.7%)
Facilitate multi-stakeholder discussions, specifically aimed at bringing diverse groups together to develop shared understanding of policy-practice issues	1 (3.7%)
Involve stakeholders in drafting proposals and conducting projects related to policy (through input into legislation)	1 (3.7%)

\*Programmes could note more than one mechanism, so percentages do not add up to 100%

Most of the inputs focused on linkages to move information up through the system from practice to policy. Conveying information specifically to ensure that policy informed practice was mentioned by five programmes only. Mechanisms in this case included meetings with stakeholders, website distribution of information and focusing on specific policy issues in which to build capacity.

Informants felt that linking policy and practice grounded their policy conclusions in realities on the ground and gave credibility to their technical and policy advice. However nearly 40% acknowledged that their own mechanisms or capacity to do this systematically were weak. Detractors of the idea felt that doing fieldwork was not part of the Secretariat mandate as this put them in competition with IUCN Members.

The dependency on donor projects forces programmes to have short term horizons and deliver concrete outputs, making it very difficult to build policy components into field work. Policy-practice linkages take a long time to develop and have to be managed systematically, and there is uncertainty about how to do this effectively. One programme argues that policy and practice should be considered as loosely coupled systems that at best now and again inform each other.

## 7.5. The intended policy outcomes

Programme informants were asked to formulate the most important intended policy outcomes pursued in their programme during the 2001-2004 Intersessional period, in other words, the most important policy changes that they wanted to bring about during this period. Seventy-six policy related outcomes pursued by all Secretariat and Commission programmes were identified. Fourteen were eliminated because they were mechanisms, narrowly defined policy targets or insufficiently clear. The outcomes were then coded, analysed and synthesised to

produce a set of around 20 outcome statements formulated to characterise the policy changes IUCN has been targeting during this Intersessional period<sup>11</sup> (Table 18). These were further synthesised into eight outcome statements reflecting the overarching changes IUCN wanted to bring about during this period.

***Finding 33***

*The intended outcomes of IUCN's programmes are clearly linked to the IUCN Programme's K-E-G strategy and broadly reflect specific results under the Key Result Areas (KRAs) of the Programme.*

***Finding 34***

*In many cases the initiative and programme outcome statements provided during interviews did not reflect the intended outcomes as stated in programme documents, or lacked clear formulation as outcomes.*

The vast majority of the outcomes are aimed at changes in the external environment within which IUCN operates, while a few aim to enhance IUCN's own policy knowledge, position in the policy arena and its internal policy system.

*Utilised Knowledge*

This set of outcomes focuses on two main issues: (i) Knowledge that enhances stakeholders' understanding of, for example, how economic and environmental objectives can be reconciled or how policy processes can support biodiversity conservation. IUCN produces knowledge to show how biodiversity conservation can and should be part of the broader policy environment that includes economic and social development. (ii) Knowledge that improves IUCN and other stakeholders' understanding of the nature of the governance systems within which IUCN operates.

*Empowered Stakeholders*

These outcomes aim to increase the participation of stakeholders in policy processes and the capacity of decision-makers to understand and promote conservation and sustainable development. This outcome is of particular importance for Regional programmes and can be as simple as raising awareness among national governments of their obligations under multilateral environmental agreements or as complex as launching participatory processes to adapt international agreements to regional realities.

*Strengthened Governance*

These outcomes aim to improve some aspect of governance systems, leading to for example governance structures that take stakeholders into account; better and more relevant policy for conservation; and synergies between environmental agreements and their implementation.

*Improved Policy Influence*

Several outcomes relate to how IUCN positions itself in policy forums, and manages its policy work.

The intended policy outcomes show that the most frequently noted outcome for all programme groups is policy change to reflect aspects in line with IUCN's experience and policy positions. Another key focus is the enhanced participation of stakeholders in policy processes.

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<sup>11</sup> Although most of the intended outcomes formulated by programme informants related to the current Intersessional period, there were exceptions which referred to the previous period. Some programmes have undergone significant transformation either through staff changes, reorganisation or emergence from hiatus, and some policy work has been ongoing for a longer period than only this Intersessional Period.

Table 18: Syntheses of intended policy outcomes for IUCN programmes (provided by programme informants) during the 2001-2004 Intersessional period

SYNTHESIS OF INTENDED POLICY OUTCOMES PROVIDED BY IUCN PROGRAMMES	FURTHER SYNTHESIS OF POLICY OUTCOMES
<p><b>Utilised Knowledge</b></p> <ul style="list-style-type: none"> <li>▪ Improved understanding of the international governance system and its impact on conservation and sustainable development</li> <li>▪ Improved understanding of the evolving roles and opportunities of different actors in the international governance system and their implications and challenges for conservation and sustainable development</li> <li>▪ Improved understanding of the functional, structural and institutional challenges and options towards achieving a coherent and effective governance system for conservation and sustainable development</li> <li>▪ Improved understanding of policy trends, scenarios and emerging issues in the international conservation and development agendas</li> <li>▪ Improved understanding of the relationship between global and regional processes, and the international conservation and development agenda</li> <li>▪ Improved understanding of how &lt;specific objectives&gt; can be reconciled in the management of &lt;something specific&gt;</li> </ul>	<ul style="list-style-type: none"> <li>▪ IUCN's knowledge and insights utilised within the organisation and by external role players to bring about more effective and coherent governance systems, improved policy formulation and interventions, and timely response to emerging issues</li> <li>▪ A more coherent, effective international governance system for conservation and sustainable development with increased articulation between international, regional, country and local levels</li> <li>▪ Powerful international governance regimes supporting conservation and sustainable development</li> <li>▪ Governance structures and policies across key sectors that integrate biodiversity conservation and socioeconomic concerns related to human development needs and rights</li> <li>▪ IUCN's policy positions accepted in critical policies across sectors and levels</li> <li>▪ Relevant policy processes and resultant policies enhanced by the informed participation of decision-makers and other primary stakeholder groups</li> <li>▪ IUCN well positioned and able to lead relevant policy positions in policy arenas critical to achieving its mission</li> <li>▪ Policy implementation facilitated</li> </ul>
<p><b>Empowered Stakeholders</b></p> <ul style="list-style-type: none"> <li>▪ Enhanced participation of stakeholders in &lt;process&gt;</li> <li>▪ Enhanced capacity of decision-makers to understand and promote or participate in &lt;some aspect of policy relevant to conservation, sustainable development&gt;</li> </ul>	
<p><b>Strengthened Governance</b></p> <ul style="list-style-type: none"> <li>▪ Policies better integrate human wellbeing with biodiversity conservation</li> <li>▪ Governance structures take into account the rights, responsibilities and interests of stakeholders and allow for their equitable participation in decision-making regarding biodiversity conservation</li> <li>▪ Improved relevance and effectiveness for &lt;region, country&gt; of regional and international environmental arrangements; cross-sectoral MEAs or other relevant environmental institutions and human development</li> <li>▪ Other regional and international arrangements are supportive of biodiversity conservation in &lt;region, country&gt;</li> <li>▪ Policy on &lt;topic&gt; for &lt;region, country&gt; developed in accordance with existing international policy</li> <li>▪ Policy incorporates &lt;topic&gt; (or policies/actions of &lt;actors&gt; reflect &lt;topic&gt;)</li> <li>▪ Policy implementation facilitated</li> <li>▪ Synergies between different international agreements and processes identified and promoted</li> <li>▪ Enhanced relevance and priority of cross-sectoral MEAs and environmental institutions vis-à-vis the economic and development agenda</li> </ul>	
<p><b>Increased Policy Influence</b></p> <ul style="list-style-type: none"> <li>▪ IUCN's policy system effectively supported</li> <li>▪ IUCN's internal capacity to address &lt;policy topic&gt; enhanced</li> <li>▪ IUCN well-positioned vis-à-vis &lt;actor, process&gt;</li> </ul>	

Figure 4: Key policy influence mechanisms and overall intended outcomes mapped in relation to the policy cycle

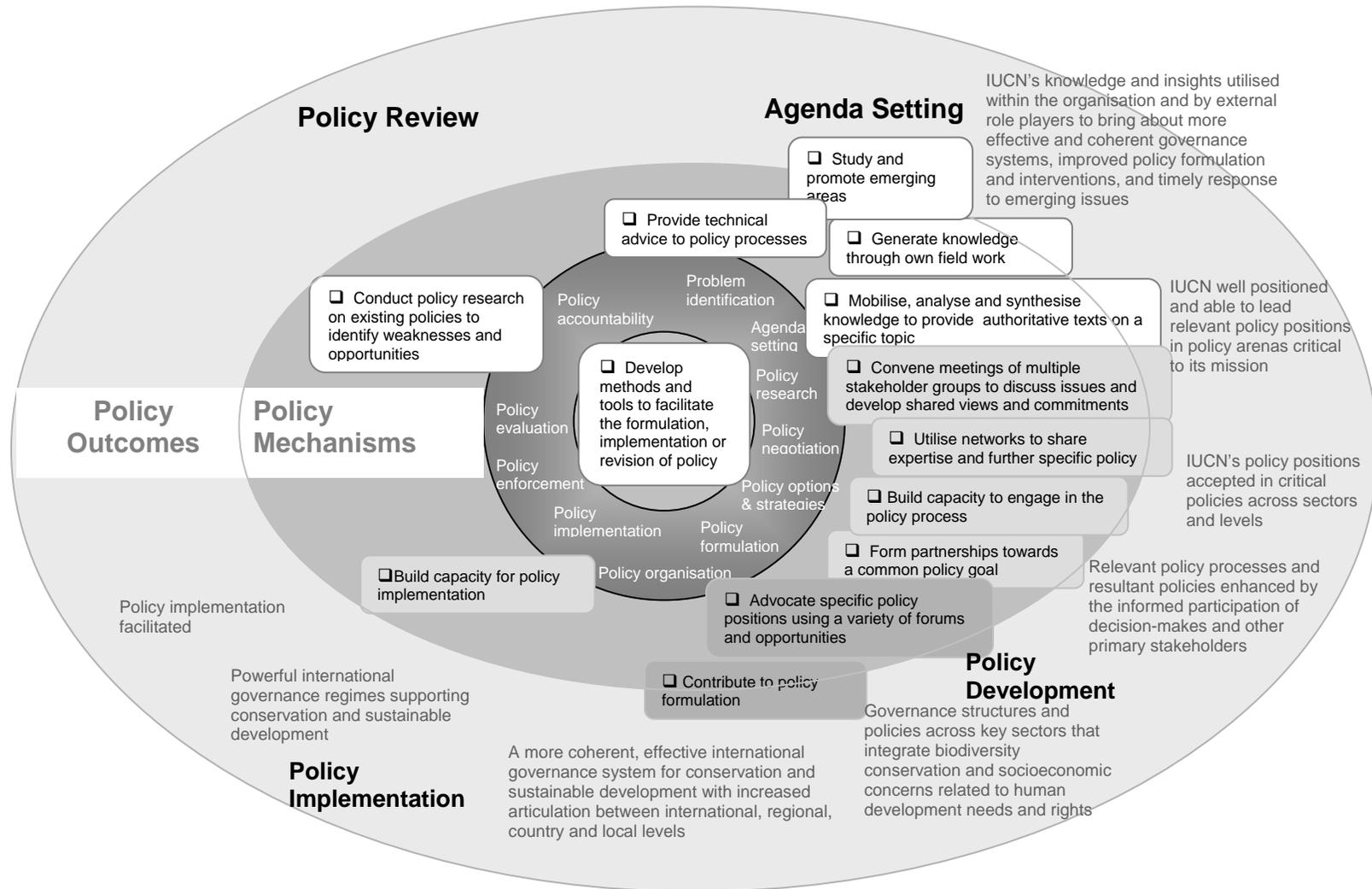


Table 18 provides a synthesis of the intended programme outcomes into a set of overall outcomes as reflected in the IUCN programmes during the 2001-2004 Intersessional period. The time allocated to the study did not allow for a comparison of intended outcomes at various levels with some of the priorities defined for the global environmental agenda set by initiatives such as the UNEP GEO-3 and others, but this could be a useful exercise at overall as well as more a detailed level.

***Finding 35***

*Mapping IUCN's efforts to influence policy on a policy cycle can create a useful framework for planning.*

Figure 4 projects and positions the key mechanisms used by IUCN to influence policy, as well as the synthesised overall intended policy outcomes on the policy cycle. It emphasises again:

- the strong focus on the Agenda Setting and Policy Development stages of the policy cycle, where IUCN's unique credibility and strengths in knowledge generation, provision of technical advice, and convening and forming partnerships between diverse groups (especially in its thematic core competency areas), are brought to the fore;
- the area of logical weakness that IUCN has in the Policy Implementation stage of the cycle, where it has no formal implementation role; and
- the area of strategic weakness in the Policy Review stage of the cycle, where there is a chance to enhance IUCN's global policy leadership role;

## **8. CONCLUSIONS, EMERGING ISSUES AND RECOMMENDATIONS**

### **8.1. Influencing policy – a strategic imperative for IUCN**

IUCN has always been an organisation driven by factors such as the commitment of its staff, volunteers and Members, the effective mobilisation of its knowledge and expertise, and the dynamism released by its unique structure, rather than by generous financial resources. This means that if IUCN is to bring about the changes advanced by its mission, it *has* to find within its areas of strength those points of leverage that can achieve maximum change with limited resources.

One of the most powerful strategies towards change is the influencing of frameworks that direct practice and support practitioners, sensitise and improve governance systems, and influence institutional agendas. As IUCN programme informants have indicated, this awareness has contributed to an increased emphasis on policy work and a movement to more strategic and systematic policy influence activities. The movement has been largely driven by institutional developments and the vision of IUCN's current leadership. An impressive amount of effort is currently being spent on policy related work in the Secretariat and Commissions programmes, with more than

***IUCN's mission***

*To influence, encourage and assist societies throughout the world to conserve the integrity and diversity of nature and to ensure that any use of natural resources is equitable and ecologically sustainable.*

half indicating that they have spent 60% or more of their efforts on such activities during the 2001-2004 Intersessional period.

IUCN is clearly very well positioned for influencing policy. Its practical experiences on the ground which feed national, regional and global policy influence strategies, its capacity to mobilise a vast range of technical and policy expertise as well as sources of information, its longstanding credibility as neutral broker and its position in powerful forums such as the UN, are only some of its advantages over most of its competitors.

There is also IUCN's strong legacy in the policy arena, highlighted in Chapter 2. For decades IUCN has been the organisation through which large and small Members could build bridges and make their voice heard to the rest of the world. It has been at the forefront of policy developments that have changed the nature of conservation, creating debates, mobilising stakeholders and pulling together expertise and knowledge. The World Conservation Strategy illustrated best what IUCN can do to stimulate, direct and guide conservation efforts at global level: "...IUCN at its best – convener, leader, promoter of great ideas, a facilitator of debate and team building"<sup>12</sup>. In the changing landscapes of conservation IUCN has often set the pace, guiding the conservation community into new areas in tune with external changes.

*There is thus little doubt that IUCN been a major force in the policy arena affecting conservation and the environment, and that it should remain such a force in the face of its mission, its comparative strengths, its legacy and current emphasis in programmes.*

The major strides IUCN has made in developing its Programme framework during the last Intersessional period should now inspire its policy work. Influencing policy is an integral part of the IUCN Programme, yet requires specialist expertise, strategic attention and streamlined institutional systems. It should be as well understood and framed as the overall 2005-2008 IUCN Programme.

PBIA and the Policy and Global Change Group have recently started to do significant work in streamlining processes and bringing greater coherence to the policy work. This Review adds to these efforts, yet at best Phase I has peeled away only the first of many layers of understanding needed in order to improve this important part of IUCN's work. Phase II should provide a more in-depth understanding of some of the key issues raised in this report through individual case studies that can flow from the issues identified in Phase I.

The rest of this chapter brings to the fore the perspectives of the key informants consulted during the Review, highlights implications of the findings described in the preceding chapters and raises some emerging issues. Rather than noting all possible conclusions and issues arising from the Review, we have concentrated on some of those that we believe are most important for reflection as IUCN moves into the 2005-2008 Intersessional period.

## **8.2. IUCN – leading conservation in the policy arena?**

### ***Finding 36***

*IUCN's profile as a leader in the global conservation policy arena has weakened considerably over the past decade.*

Key informants interviewed for the Review confirmed that IUCN remains highly respected for the remarkable number of "streams of policy influence" that it has had over the years (Box

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<sup>12</sup> Holdgate, M. 1999. The Green Web. A Union for World Conservation. Earthscan Publications. London. p 170.

9) as well as for the very impressive strengths that IUCN has brought over a long period to efforts to influence policy for the benefit of conservation.

Its role is still appreciated as that of bringing intellectual perspectives rather than “campaigning” or “pressurising” from an ideological point of view. It has retained and extended, especially at regional level, its reputation as a credible, transparent, science-based organisation providing sound, rational analysis without prejudice. It has valued assets through its capacity to mobilise expertise through its Commissions; its convening power that brings together the conservation community (and recently also organisations outside this community) to reflect and exchange, allowing different perspectives to work together towards a common goal; and its recent efforts to work more closely with powerful institutions outside the conservation sphere.

But has IUCN remained a leader in influencing key policy relevant to its mission? Opinions are generally not encouraging. A large majority of key informants as well as a number of internal observers are of the opinion that IUCN's profile and performance as a leader in the global conservation policy arena has weakened considerably over the past decade. There is a worrying perception that it is “losing its edge” in spite of the more intense focus on policy work across a number of programmes and the recent emphasis of the leadership on broadening and strengthening the organisations influence. While the latter efforts have successfully started to position IUCN in new policy spaces, it has not been adequate to stop perceptions of a diminishing profile in policy performance.

It is not surprising that it is difficult to establish a reputation as a leader in today's more complex policy arena at global, regional and national level, yet as never before the fragmentation and inefficiencies call for innovative leadership. The most recent report of the World Resources Institute<sup>13</sup> describes the situation at global level, IUCN's traditional area of strength: A coherent, effective system of international environmental governance has proved to be an elusive concept. There is no central institution with sufficient authority to construct strong environmental protections and insist on compliance. Global environmental decision-making is driven by a variety of organisations, while the web of environmental treaties has grown to a loose system of overlapping agreements, yet with significant gaps in the system.

Furthermore, there are a host of financing institutions, yet many international negotiations produce agreements with ambitious goals and inadequate resources to achieve them. Many implementation projects are poorly coordinated and conceived. Decisions that govern production, trade and investment often pay inadequate attention to protecting the environment and human needs. At the same time a serious failing in the system is the weak response to environmental challenges by international governance institutions due to divisions among countries and regions. This situation compares very badly with, for example, the evolving system for international governance of trade and investment, with much stronger coordination and enforcement regimes.

These problems are not limited to the international level and tend to be reflected in patterns at national level. There is also a growing competition “to be heard” at all levels. Policy makers are now exposed to influences from a proliferation of organisations as well as coalitions between diverse organisations. According to the WRI the increasing number and influence of civil society organisations worldwide has been one of the hallmarks of environmental governance over the last decade. The number of NGOs recorded by the Union of International Associations has more than doubled since 1985 to over 47 000. At the United Nations, 2 143

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<sup>13</sup> UNDP, UNEP, The World Bank and WRI. 2003. World Resources 2002-2004: Decisions for the Earth: Balance, Voice and Power. Washington: WRI., Chapter 7.

**Box 10: Key informants' interpretation of IUCN's "streams of policy influence" over the years**

- i. Initiating and guiding the development of seminal global conservation policy frameworks, in particular the World Conservation Strategy and Caring for the Earth;
- ii. Initiating and guiding the development of sectoral multilateral environmental agreements, in particular the CBD, CITES, Ramsar and the World Heritage Convention;
- iii. Facilitating the implementation of global conservation policy frameworks and multilateral environmental agreements by influencing their work programmes;
- iv. Releasing guidelines for framework development and implementation, in particular the WCPA Guideline series and SSC Action Plans;
- v. Convening the conservation community through the global IUCN forums, in particular the WCC and WPC;
- vi. Developing policy statements in specific conservation sectors such as forestry;
- vii. Launching or guiding specific initiatives with powerful institutional networks which focus on or include non-conservation audiences, in particular the work with the mining sector and in the World Commission on Dams; and
- viii. Developing National Conservation Strategies in partnership with governments.

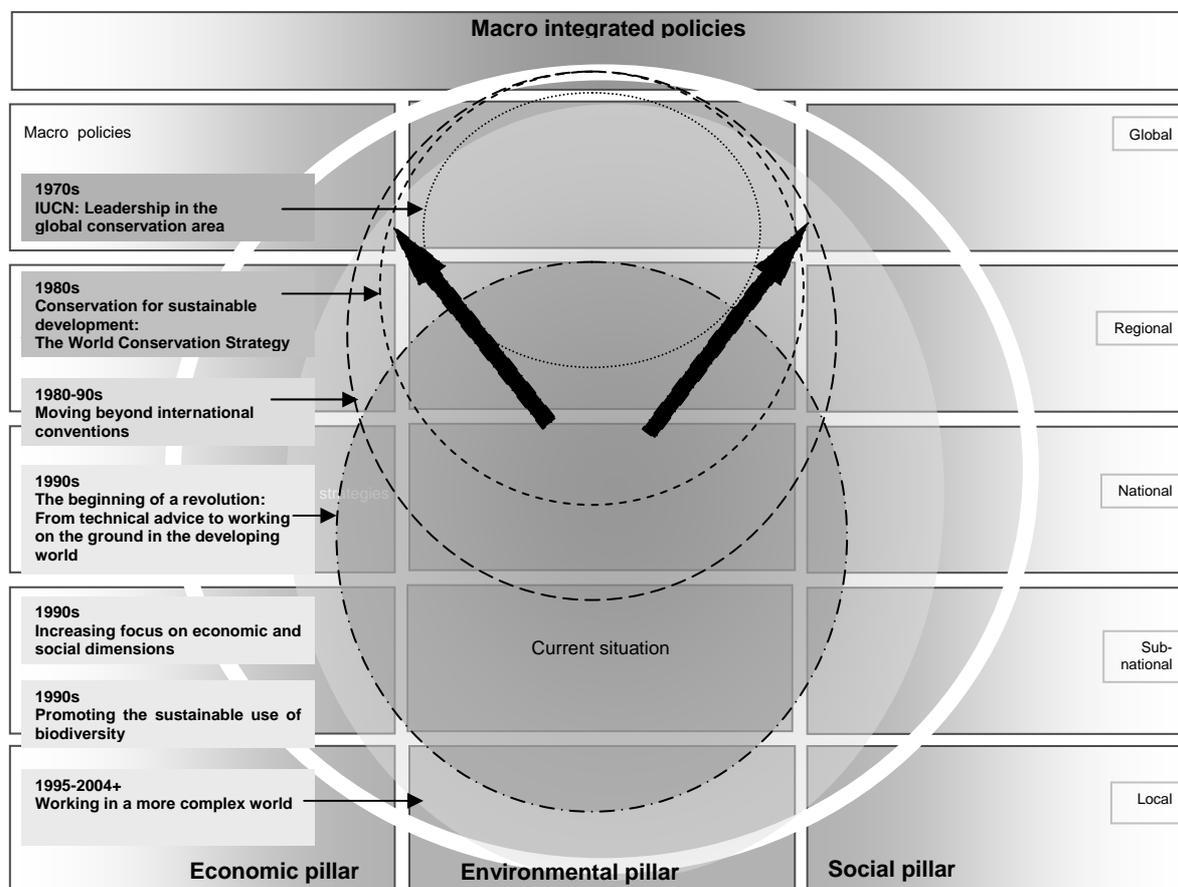
NGOs held consultative status in 2003 compared to 928 in 1992 and just 222 in 1952. In addition, civil society organisations have been "increasingly effective in demanding a 'seat at the table' in both the national and international policy arenas".

IUCN remains a relatively small player in important areas such as fisheries, arid lands, the extractive industries, macroeconomic policy and others. In particular, informants point out that where in past processes others picked up on what IUCN was doing, it is now seen to be "jumping on every other train" without clear strategies towards long-term change. It is "polishing the global policy machine" as one of many contributors, rather than as a leader. These perceptions have been supported by some of the Review findings, where IUCN's policy contributions are noted as "scattered, trying to be all things to all people".

Such opinions might not do justice to the impressive yet less visible policy work done by IUCN at national, regional and even global level during recent years, for example through the excellent work done by PBIA in mobilising concerted expertise to inform policy initiatives and help design effective action plans for policy implementation. They might thus not give enough credit to IUCN's involvement in a less visible yet important phase of policy involvement where refining policy regimes and supporting programmes of work at regional and national level as well as a greater focus on policy implementation are required, rather than focusing on more visible processes of establishing and influencing the development of global frameworks. Some experts call this the "era of implementation and compliance", arguing that instead of negotiating a series of ambitious new MEAs, it is time to make existing treaties work<sup>14</sup>.

<sup>14</sup> UNDP, UNEP, The World Bank and WRI. 2003. World Resources 2002-2004: Decisions for the Earth: Balance, Voice and Power. Washington: WRI, p 149.

Figure 5: Simplified visual representation of the strategic movement needed to reposition IUCN in the policy arena



On the other hand the perceptions of diminishing leadership are strong and widespread, and the weaknesses identified in IUCN's policy work during the Review seem to confirm their validity. Figure 5 is a representation of the current situation based on the map used in Chapter 2, Figure 1, with the arrows indicating the authors' interpretation of the move needed away from fieldwork that is too localised, towards a more concerted, strategic focus at national and at global levels within the challenges posed by the new contexts at these levels.

So, by decentralising and regionalising IUCN has broadened its scope of potential policy influence to other levels, but might have sacrificed opportunities for greater global impact. This needs repositioning of IUCN to (i) focus on those macro-integrated policies that currently dominate the conservation policy arena (including outside the environmental sector), (ii) do more systematic policy work with governments and other key players (not necessarily in the environmental sector) at national level to bring about change within new national contexts.

A synthesis of information from all Review sources highlights some of the most important factors that have brought about this situation (Box 11). Table 8 in Chapter 4 refers to programme informants' views on obstacles to policy influence. These are nearly all institutional rather than external factors. Another set of inputs was provided by key informants (Box 12).

**Box 11: Key factors currently affecting IUCN's leadership in the policy arena**

- The increasing complexities of various policy domains affecting conservation;
- The regionalisation and decentralisation process over the past decade that has moved IUCN closer to the ground yet scattered (and made less visible) its policy efforts, with some central coordination returning only very recently;
- A lack of capacity to move into new domains;
- The continuing absence in IUCN of a coherent and concerted strategy (and underpinning institutional systems) for policy influence in the current context;
- The current funding model that makes IUCN's policy work subject to the priorities of donors;
- IUCN's hesitance to take a strong and visible lead in key areas traditionally opposed by some Members;
- "Competition" by institutions such as IISD, The Nature Conservancy, Birdlife International, CI, WWF, the Sierra Club, UNEP, IIED and WRI – organisations that often have much larger budgets and better media and dissemination strategies than IUCN, and that have launched major influential initiatives such as the WRI World Resources Reports and the UNEP GEO assessments.

**Box 12: Key informants' perceptions of current obstacles to IUCN's leadership in the policy arena**

- Too much emphasis on the CBD; too little on critical review of these policy instruments
- Low profile and competency in key policy arenas outside the conservation sector
- Past policy efforts driven by individual leadership interests rather than by strategic decisions (changed significantly since regionalisation)
- Inadequate capitalisation on the advantages brought by IUCN's regionalisation and decentralisation
- Increased field work, taking IUCN away from its core competencies
- Unfocused policy work, a "mish-mash" of activities, un-strategic policy choices
- Naivety in political environments, processes
- Lack of agility to grasp and follow up on shifting policy opportunities
- IUCN's unclear definition of itself – as NGO or IGO?
- Continued schizophrenia in balancing a "hands-off" with a more open approach, for example in the mining debate
- Lack of spirit of teamwork within IUCN – "act more like individual star players"
- Inadequate follow-up after major events and achievements
- Lack of a critical approach to its own work
- Lack of understanding of what Members want from IUCN (through its policy work)
- Lack of conceptual leadership capacity in policy influence
- Marginalisation in poverty/conservation work caused mainly by weak social science capacities
- Too many "heavy" event-driven processes
- Institutional systems inadequate for concerted and mainstreamed policy work
- Lack of a policy agenda that opens new policy spaces for IUCN and clarifies its niche areas
- Too many policy resolutions, not well managed through Council and Member processes

As far as we know, IUCN does not have factual information on why its Members join and remain loyal to the organisation, but our own as well as informant observations indicate that important reasons are that IUCN provides a bridge between diverse organisations, magnifies small players' voices on the world stage and is able to *provide strong leadership* that can guide them and bring about positive change for conservation.

IUCN has unique characteristics that few other organisations have that position it ideally to lead such efforts - its credibility and transparency, its sound scientific knowledge and approach to advocacy based on factual information and sound reasoning rather than ideology, its massive expert networks, its convening power across diverse constituencies, and many more. We believe that it is *an imperative for IUCN to be a leader in the policy arena*. It is not merely a *choice* for an organisation with such impressive capacities and comparative advantage. The conservation community *now* needs strong leadership to promote its cause in the world as it continues to lose ground to other more powerful forces at a critical time. IUCN will neglect the legacy of those pioneers who have established and developed it with such commitment over the decades if it does not *strive to mobilise and use optimally its capacities for leadership in influencing policy in those areas that now matter most to conservation*.

What would be required from IUCN to ensure a leading position in the policy arena in the current complex environment? Box 13 notes some of the capacities of organisations who can lead in influencing policy. Many are already part of IUCN's make-up. We return to some of these in the next sections.

**Box 13: Some desirable capacities of organisations positioned to take the lead in influencing policy**

- Leadership engaged in managing change for critical work in new areas
- Willingness and strength to deal with reality and to move with vision underpinned by pragmatism, factual information and rational argument in the face of opposition to new ideas
- Access to credible and timely knowledge from a variety of sources, networks of expertise and conceptual thinking that inform and direct policy decisions
- An approach to knowledge management that aims to optimise policy influence results and impact, including effective dissemination strategies aimed at reaching key audiences
- Focus on building effective relationships, alliances and partnerships with influential organisations and individuals
- Understanding and astute use of policy influence models and strategies
- Purposeful and systematic planning approaches based on a comprehensive understanding of the particular policy arena (including how other domains / sectors and societal change impact on it), balanced with an adaptive and flexible approach aimed at addressing opening policy windows in a timely manner
- Astute political approach
- Credibility
- Policy entrepreneurs and policy advocates active across the organisation
- Capacity to engage in critical review of policies and the policy system
- Capacity to identify and address critical emerging issues - including "the next big thing".

We agree with the observation that IUCN's main policy approach can be summarised as "give the best conservation knowledge the best political exposure", synthesising and deploying knowledge in the relevant policy arena led by what is prominent in that arena. But this means a purposeful and strategic approach to how the best and most relevant conservation

knowledge can be identified, generated, synthesised and deployed effectively, and how the key leverage points and most influential people and organisations can be identified and mobilised in arenas simmering with many influences and critical issues.

We are convinced IUCN is under imminent threat of becoming just one of many players, and somewhat marginalised, if it does not use the 2005-2008 Intersessional period to focus all its efforts on *managing change effectively*, in particular the change needed to cope with a more forceful entry into those new domains affecting conservation and the environment today. IUCN needs to move purposefully and with strong leadership into these new terrains to achieve its mission while remaining true to its heartland expertise in biodiversity. We believe that *this is the most significant challenge that IUCN will face in the next four years*.

**We recommend that IUCN use the 2005-2008 Intersessional period to streamline its policy work and manage the strategic change needed for a more extended and effective leadership role in the policy arena towards fulfilment of its mission.**

### 8.3. New policy priorities

The Review has confirmed what IUCN already knows – in order to fulfil its mission it has to work in new ways, using its expertise in new arenas over the next few years. It has been very successful in the past in leading or moving with the conservation community during the evolution of conservation (Chapter 2). More complex external contexts as well as its own regionalisation and decentralisation process have now brought considerable new challenges in domains new to IUCN. These are recognised in the 2005-2008 Programme, but IUCN is moving forward with hesitancy, in part because of the need to accommodate diverse views among Members and the uncertainty about how to proceed with only limited capacity in some of the important new domains.

Several new areas or domains have repeatedly emerged from discussions as those on which IUCN should focus in the upcoming Intersessional period (Box 14). The key issue mentioned most often is the *need for IUCN to venture into critical new policy arenas more strategically and with more vigour in order to extend its influence into these new spaces as a matter of urgency*. These areas are well in line with the IUCN Programme focus and the key policy initiatives show that there is already considerable activity in some.

The recent “revolutions” in thinking about policy in IUCN, the desire for new kinds of technical expertise and the 2005-2008 IUCN Programme all indicate a growing appreciation of this important issue. Nearly all informants agree that IUCN will have to find the most effective ways to apply its heartland expertise strategically in such critical non-conservation areas if it is to achieve its mission, reaching new non-conservation audiences and instruments that are powerful forces in the conservation arena. This includes consideration of the implications of the trends towards “bottom-up” influences on policy-making through the participation of broad forums of stakeholders, including marginalised local or indigenous communities (where IUCN has mostly been involved in building capacity for policy engagement), and balancing these with the need for “top-down” policy influence.

We believe that IUCN's culture and credibility based on transparent, non-partisan and scientific approach to policy input, its convening power and its capacity to build bridges between disparate role players positions it well to do this. We also believe that it is likely that “the next big thing” - if IUCN is to return to making seminal policy contributions in conservation - could lie in this direction.

### Box 14: Informants' suggestions for policy foci for the 2005-2008 Intersessional period

#### *Key point*

Understand what threatens biodiversity, what are the main topics influencing it, what IUCN can bring that is relevant to make the required changes – and target the change in a focused manner.

#### *Focus on*

- The distortions that human frameworks and interventions bring to conservation;
- Understanding the nexus between poverty and conservation in order to integrate conservation into all the MDGs;
- Achieving the Biodiversity 2010 commitments;
- The ecosystems approach to conservation (hand in hand with other land uses);
- Interpreting IUCN's mission in new domains, reaching new audiences - in particular powerful non-environment Ministries and government bodies, the private sector; powerful multi-lateral institutions, non-conservation networks;
- Determining position with respect to civil society, indigenous peoples' involvement in policy;
- Increasing activity at the back end of the policy cycle (policy monitoring, evaluation and review).

#### *Suggested priority areas*

- International conventions – still seen as IUCN's most important niche area – but also those outside the conservation arena which impact forcefully on conservation
- Climate change
- Trade
- Access and benefit sharing
- Industry sustainability from an environmental perspective
- Consumption of biological resources
- Economics and biodiversity
- Governance of natural resources
- Major strategic projects such as the World Commission on Dams

#### *Cut back on*

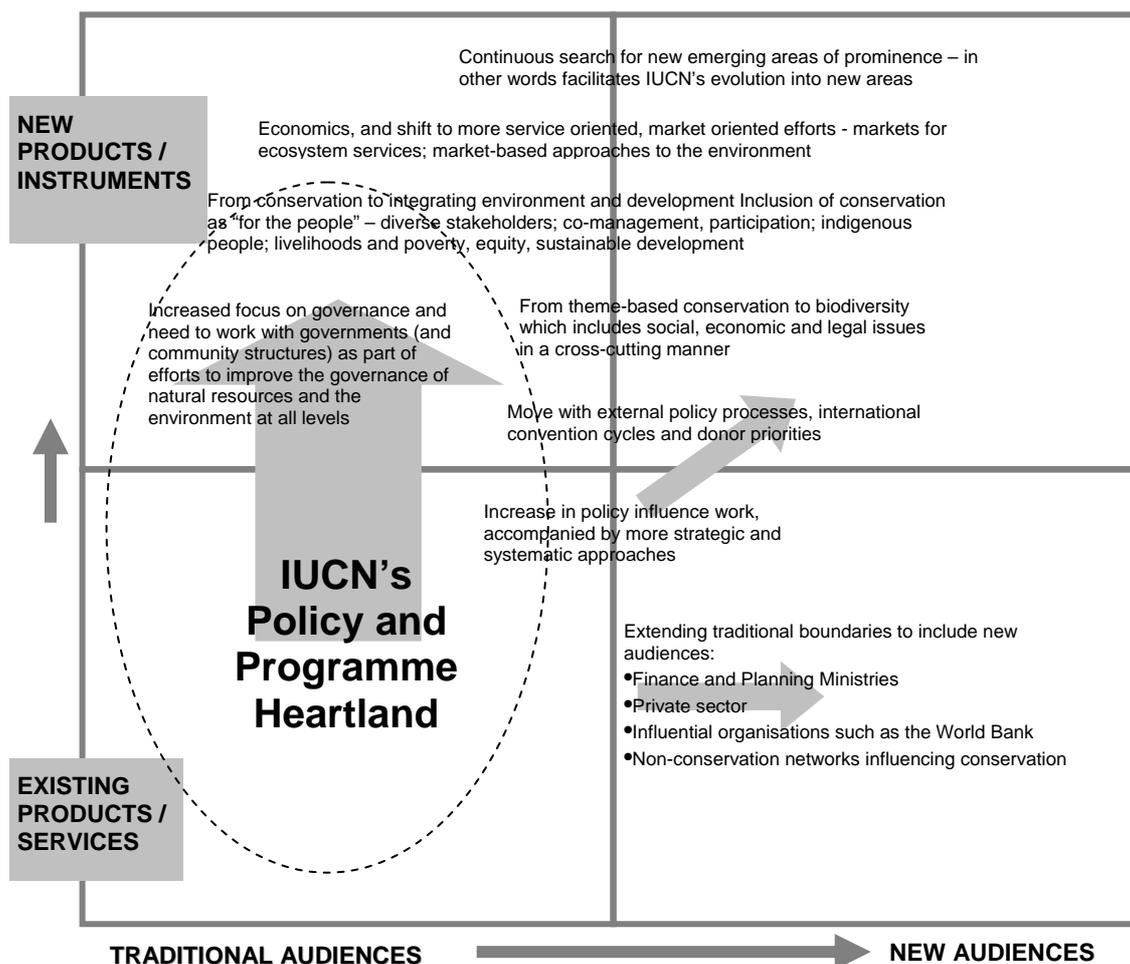
- Uncritical involvement in the CBD and other international conventions

IUCN needs to gain expertise in these new policy arenas and in managing the interfaces between these and the conservation policy arena. Many of the recent shifts in the world will continue to impact on the conservation arena for decades. This means that IUCN's use of human resources should reflect some of these shifts. It will therefore be essential for IUCN to (i) consider the implications for its change management and human resources strategies; (ii) mobilise in a purposeful way partnerships and alliances with Members to fill gaps in expertise; and (iii) consider the implications for the type of members and structures of the Commissions.

In terms of priorities there is also general concern about the amount of effort that goes into the Convention on Biological Diversity. This is by far the most common policy target for IUCN programmes, yet there are serious questions around the effectiveness of its design and implementation. Informants believe that IUCN should play a more critical role in this convention. This is in line with the recommendation that it should increase its activity at the back end of the policy cycle in policy monitoring, evaluation and review.

Figure 6 applies a business development matrix to policy influence as a tool to help facilitate long term planning approaches and to map policy influence findings. It shows the "revolutions" and "evolutions" that according to programme informants have impacted on

Figure 6: Schematic representation based on perceptions of shifts in thinking about IUCN's policy work over the past two Intersessional periods



their perceptions of their work over the past two Intersessional periods (Chapter 4), and which include shifts to new domains and audiences as discussed in this section. Although they also represent actual shifts in strategy, we cannot say with certainty to what extent they were supported by meaningful resource allocations. We have attached our own (rather subjective) interpretation of the relative levels of effort towards these strategic shifts in the programmes, based on the information provided during interviews and observations around the key initiatives.

**We recommend that in the 2005-2008 Intersessional period IUCN aims to move dynamically and strategically into those critical policy domains which are proven to impact forcefully on conservation, directing its efforts to important “non-traditional” audiences and key players such as non-conservation government bodies; the private sector; multilateral institutions and non-conservation networks.**

**We recommend that IUCN in this process focuses on deploying its “heartland” expertise strategically to influence these new policy domains, building the necessary internal capacities as well as partnerships and alliances for long-term engagement in critical areas.**

**We recommend that IUCN considers the implications of these shifts for its change management strategies, in particular its human resources strategy, its engagement of Members and its mobilisation of Commission members and structures.**

**We also recommend that IUCN considers its emphasis on the CBD as part of a more critical approach to the global policy regime for conservation through greater involvement in policy monitoring, evaluation and review.**

#### **8.4. Focusing IUCN's policy work**

During the Review we have been struck by the tremendous amount of work done by IUCN to influence numerous policy targets and policy processes. Even just the relatively limited number of "key policy initiatives" used in the Review has focused on influencing around 60 specific policy frameworks as well as a large number of stakeholder groupings. In the key initiatives used for the Review few frameworks were targeted by the same programmes (with the exception of the CBD), and even fewer collaborate on the same initiative to influence the same target. We noted our overall impression that IUCN is doing an astonishing amount of policy work at global, regional, national and, it seems, even at local level, but these efforts give an impression of being scattered and "trying to be all things to all people", rather than focused and purposeful. IUCN does not seem to be working in a concerted way towards the overarching changes it wants to see in the world.

IUCN's modes of work confirm this perception. Many programme informants admit to a rather relaxed attitude to planning for policy influence, without adequate focus on policy outcomes and theories of change. The proliferation in the number of policy instruments at global and national levels during the last decade has exacerbated this situation. In the previous section we have also advocated that IUCN should move more vigorously into new arenas and institutions that impact upon, but are not in its "heartland" – and it is often difficult to leave old priorities behind when reorienting programmes for new challenges.

Moreover, in spite of its extensive activities, IUCN's stature in the conservation policy environment is seen to be diminishing, partly because of its lack of focus. It is therefore becoming more and more important *for IUCN to focus its policy work* for greater impact, for better deployment of its resources and for more appropriate use of its comparative advantage.

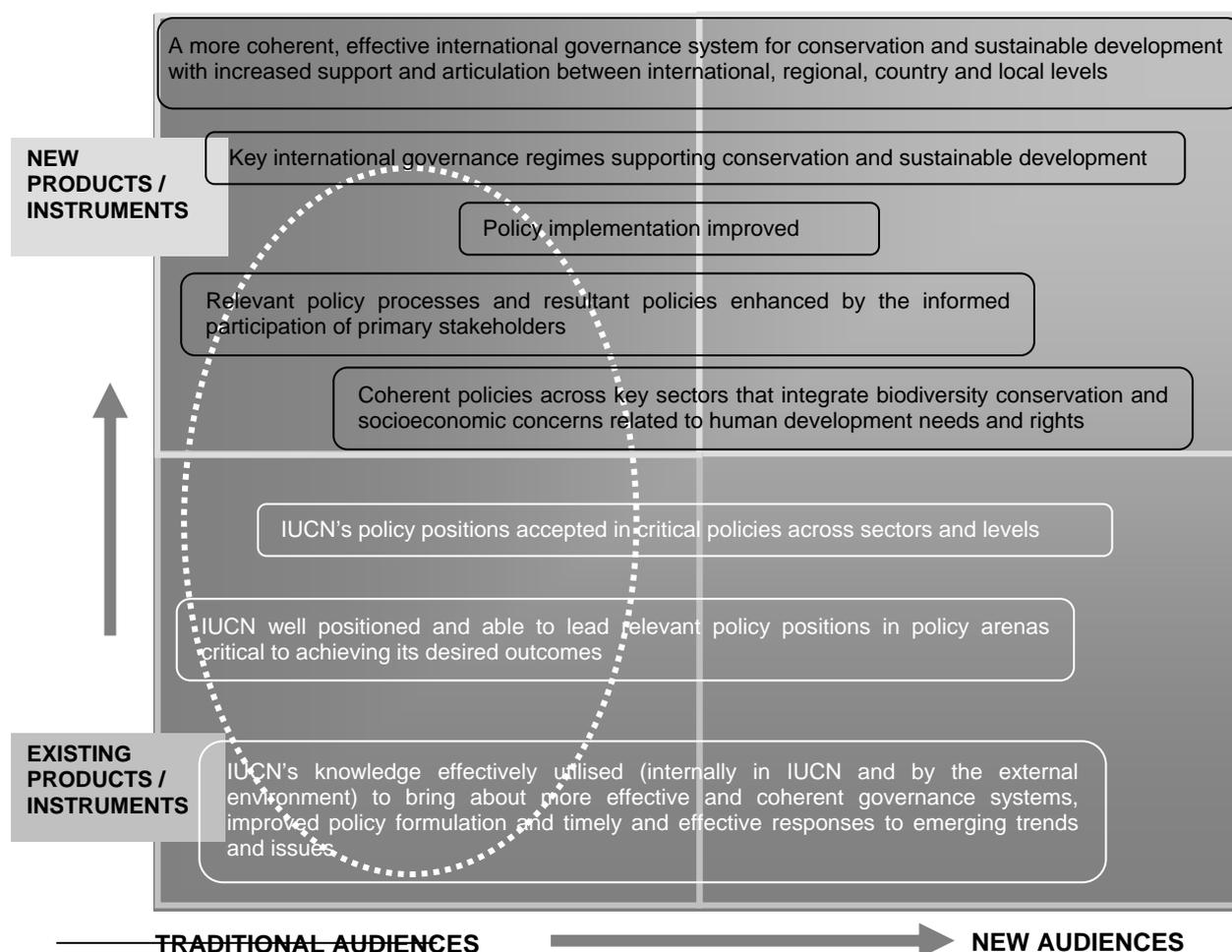
One can argue that IUCN is making a significant difference in the conservation policy arena through the sheer bulk of its policy work and that focusing its efforts might not lead to results that will justify the energy needed to design and implement focusing strategies. We do not agree, but we also do not advocate that IUCN should focus only on 2-3 major themes. Instead we argue that focusing is about inspiring, about purposeful coordination and management, and about creating a common vision and spaces for collaboration. It is about the capacity to identify systematically those key leverage points through which to get the best results towards fulfilling a mission, without losing the agility and flexibility to capitalise on opening policy windows.

We also do not argue for a diminished focus on policy work. Some programme informants noted that "everything we do is about policy". Essentially they are correct. The policy cycle, although too linear to reflect reality on the ground, is a good model to illustrate the many components in the policy-making process - far more than just working directly with the formulation of a particular policy. Policy work is also not only about the product (a policy) but about the whole process with all its interrelated parts.

Analysis of the IUCN Programme indicates that much of it relates directly or indirectly to influencing policy – from the use of the knowledge generated (often for some form of policy related advice), to the many empowerment activities which prepare stakeholders to participate in policy formulation or implementation, to the work on governance which usually relates directly to some policy framework (especially in KRA 4). This is how it should be if IUCN seeks to ensure that its Programme brings about change in the most (resource) effective way. It also means that the IUCN Programme for the 2005-2008 Intersessional period is to a great extent about influencing policy - and in essence already provides a framework for IUCN's policy work. Any effort to establish new goals and theory of change has to take cognisance of this.

On the other hand, as the 2003 External Review of IUCN points out, the IUCN Programme provides a broad framework that is “permissive rather than directive”. Our analysis of the key initiatives and component programmes' intended policy targets and outcomes has confirmed this. Nearly all intended programme outcomes could be formulated as a statement relating very closely to results in KRAs 1-5. Further synthesis of the more than 20 already synthesised intended outcomes into eight overarching policy outcomes further proved this point (Table 18; also in Figure 7<sup>15</sup>), and served to confirm the scattered nature of IUCN's policy work when the wide spectrum of intended outcomes linked to the large number of policy targets (only for the key policy initiatives, Box 8) is taken into account.

Figure 7: Positioning intended outcomes of IUCN programmes as drivers for change



<sup>15</sup> Note: Figure 7 also proposes that IUCN's “heartland” needs to expand to facilitate impact and enable a leadership role. An assumption that needs testing is that the strategic impact increases with ascending positions in the framework.

Another factor proven to work against focusing IUCN's policy work relates to the drivers for policy initiatives, including the responsive mode in which many programmes tend to work. This mode confirms the need and desire in the regions, for example, to collaborate with and support governments in their work. Lack of focus is also brought about by IUCN's funding model which forces programmes to follow particular donor priorities.

Progress has already been made, but more is needed, especially if IUCN's policy work is to be a strategic focus for the 2005-2008 Intersessional period. Coordinating units and advisory bodies such as PBIA and PGCG have been established to promote a more coherent approach. We are not sure to what extent PPG is focusing strategically on policy work, but we believe it should be an important forum for planning, monitoring and adapting strategies for greater coherence and impact.

A combination of the following strategies might be useful to focus IUCN's policy work while still allowing adequate flexibility in the system:

*(i) Focusing thematically / in specific policy arenas*

Prioritising themes or specific policy arenas for more concerted attention in a particular Intersessional period is often used as a focusing strategy. New challenges in this regard have been discussed in the previous section.

*(ii) Changing the funding model*

The weaknesses in IUCN's funding model have been discussed in the 2003 External Review of IUCN, and suggestions made for changes in the funding sources and approaches that should assist in generating more untied funding. As can be expected, the funding model is a very important driver for the IUCN Programme and thus also for the organisation's policy work. The difficulty in finding direct funding for efforts to influence policy and the consequent dependence on donors' priorities add to the dispersion of IUCN's policy efforts.

A stronger focus on developing funding proposals with well justified approaches to influencing policy could be useful, but ideally as suggested in the External Review, more diverse funding sources as well as more framework funding should be sought at different levels to provide the freedom to do policy work according to IUCN's priorities and strategies.

*(iii) Establishing a more purposeful, systematic and focused theory of change for policy work in IUCN than is allowed by the current IUCN Programme framework*

Figure 8 integrates important dimensions for policy work, including some identified during this Review<sup>16</sup>:

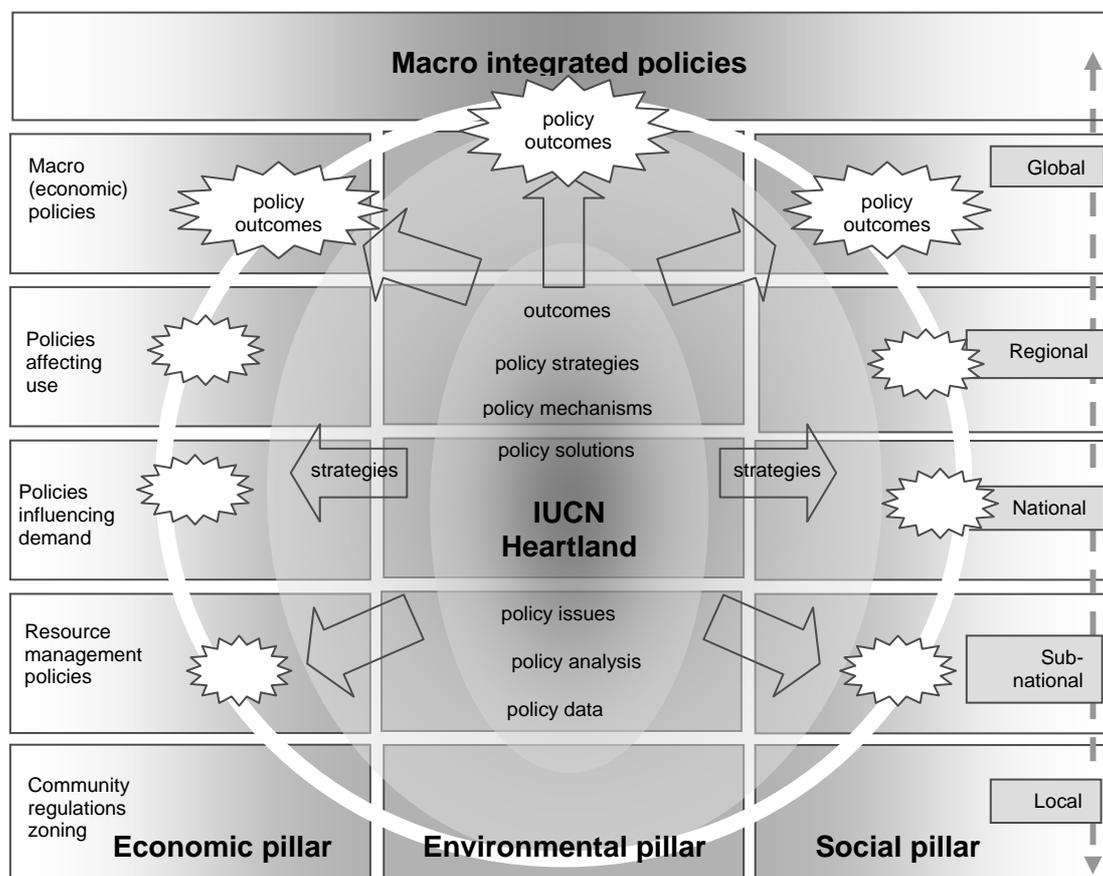
- The three pillars of sustainable development,
- The policy dimensions, from macro to resource/thematic to community related;
- The action from global to local;
- The integration needs of social, environmental and economic policies and actions;
- The links with results / outcome oriented planning approaches and strategies.

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<sup>16</sup> Knowledge management, knowledge networks and knowledge clusters and partnerships are a fundamental part of this model, but we have not focused on these in the Review or in this diagram.

The diagram is therefore an attempt to visualise a relatively simple framework which can be extended to guide the development of a more focused “theory of change” for IUCN’s policy

Figure 8: The dimensions of a global policy framework for IUCN



work into which component programmes can fit their work. It will obviously have strong linkages to the 2005-2008 IUCN Programme framework.

*(iv) Concerted planning towards collaboration on key policy levers*

The lack of synergy and horizontal and vertical collaboration between the different programmes and components of IUCN has for a long time been recognised as one of the most important weaknesses in IUCN, especially as this reduces the effectiveness of an important component of its comparative advantage.

We believe that in order to focus IUCN’s policy efforts, it is essential to (a) use situation analyses and other intelligence to identify important “policy levers” (powerful frameworks, processes or audiences essential to the changes IUCN wants to bring about) through which major change can be effected in line with IUCN’s theory of change for its policy work; (b) mobilise programmes and other IUCN components to *plan and implement together* those contributions each can make to a particular “policy lever”; (c) form alliances and mobilise additional expertise if required for a comprehensive approach; (d) develop mechanisms for movement of knowledge and field experiences between participants, analysis and synthesis; (e) ensure readiness to make use of opening policy windows, as well as flexibility that allows each programme also to pursue its own individual interests.

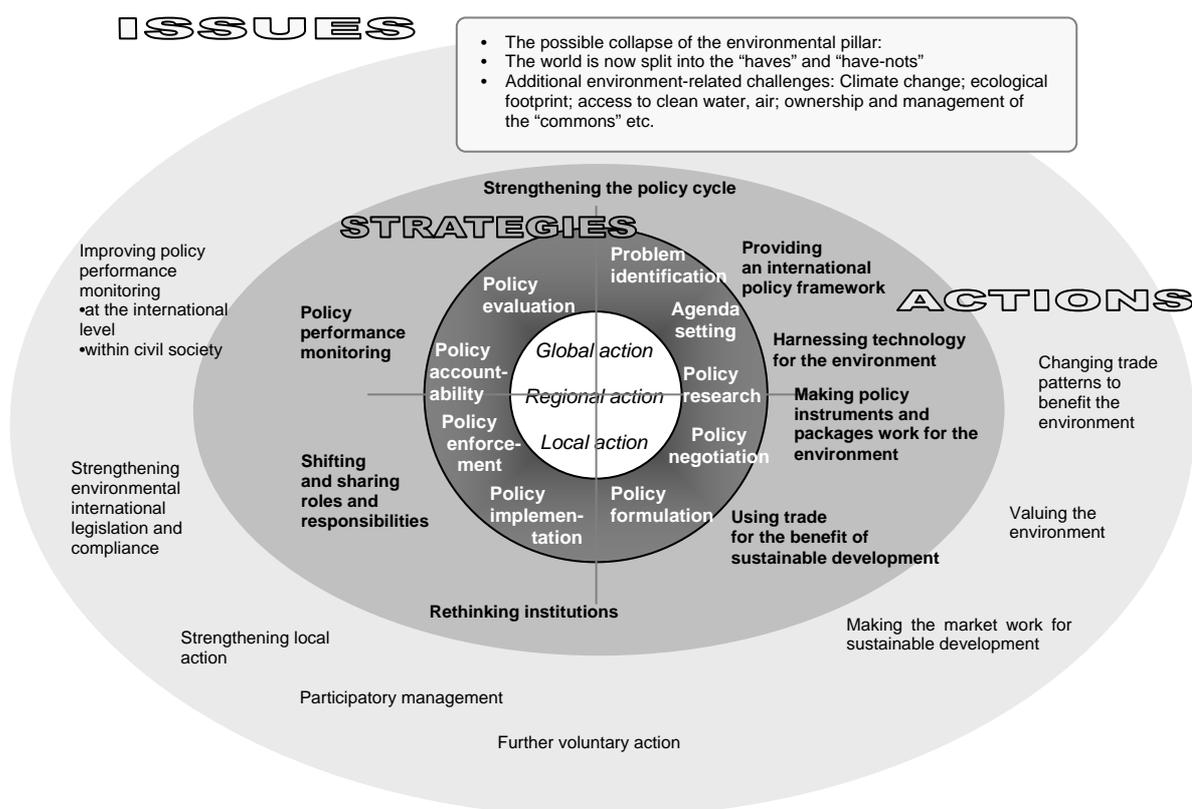
This approach differs substantially from the current practise across much of IUCN, where desired results are formulated as part of an overall programme framework, and each programme plans separately how it will fit into those results.

*(v) Focusing through strategies and outcomes aligned with global agendas for change (if IUCN does not lead in this respect)*

Comprehensive studies such as the UNEP GEO-3 assessments give direction to global efforts aimed at the type of transformation described in the IUCN mission. The GEO-3 study is a useful tool for planning which has helped to position UNEP strategically in the global policy arena. The assessment includes a policy review component demonstrating the opportunities provided by this type of activity for the strategic positioning of an organisation.

Figure 9 provides a diagram of the strategies and some proposed actions conceptualised by the global policy network of the GEO team. It provides a method to compare IUCN's proposed policy strategies and outcomes with the global framework for action established by the GEO-3 assessment. It serves as an example of the types of systems that can be used to focus IUCN's efforts within a larger global framework, and bring synergy to different efforts to influence the policy arena for the benefit of conservation.

Figure 9: Diagram of the strategies and some actions as conceptualised in the most recent GEO-3 assessment, set against the policy cycle



**We recommend that IUCN considers adjusting its funding model to mobilise additional funding for more concerted and strategic policy work.**

**We recommend that IUCN increases its impact by focusing its policy work, and considers to what extent it can do this through (i) a purposeful theory of change based on systematic intelligence and situation analysis; (ii) identification of key “policy levers”; and (iii) concerted teamwork, including joint planning across programmes, IUCN components and other partners to influence a particular “policy lever” over time.**

**We furthermore recommend that IUCN explores how its theories of change are aligned with or could be aligned with credible global agendas for change.**

## **8.5. Linking policy and practice**

Although the scope of IUCN's influence has increased tremendously over the past decade through the process of regionalisation and decentralisation, the organisation has not been able to make the most of its presence in the regions. It is of great concern that the most frequently used mechanism for translating practice into policy – learning lessons from field work – is acknowledged by programmes as being weak (section 7.4). Lessons are shared, but usually very informally and only between parties directly involved in a particular project or closely linked to it.

This situation is exacerbated by the growing notion that the Secretariat is competing on the ground with Members for resources – a situation which the 2003 External Review of IUCN predicted would become worse with time, and with destructive consequences if not well managed by IUCN.

Linking policy and practice through Commissions and related networks seems much more effective, probably due to the way in which networks function and are geared to systematic sharing and synthesis between experts. This is not yet part of the culture of most Secretariat programmes.

Various findings helped to identify obstacles to effective practice-policy linkages in IUCN, mainly in the Secretariat:

- Lack of time and resources to devote to learning and synthesis – a challenge to IUCN's organisational culture;
- Lack of commitment to systematic learning and synthesis as a priority activity within, and between programmes;
- Inadequate understanding in programmes of how to manage policy-practice linkages effectively;
- The funding model of the IUCN Programme, defined by the 2003 External Review as a “project machine”, driven by donors' methods and priorities that usually do not require linking of the design of projects with policy work;
- Lack of alignment of field work and policy from the beginning;
- Lack of systematic management of relationships within IUCN (and with parties outside IUCN). This includes weak (but improving) linkages between the global policy group and Regional programmes. The latter's perceptions are that they are not yet an integral part of concerted, systematic planning reflecting a strategic approach to policy influence, and that they are only called upon when needed for specific input – which is sometimes too late for effective contributions.

IUCN's unique make-up, its credibility, its access to knowledge and its increasing focus on knowledge management should assist greatly in efforts to strengthen its policy-practice linkages. We believe that IUCN will eventually benefit optimally from this aspect of its comparative advantage if its Secretariat builds the capacity to become an "integrating and synthesising" rather than "implementing" organisation with a footprint in the field. This can be done only (i) when field projects are directly connected and designed, from inception, for efforts to influence policy in a well-planned, coordinated way (for example as in section 8.4 of this report); or (ii) when IUCN plays a specialist role in building capacity for policy implementation. This approach will challenge IUCN to establish mechanisms to best engage Commission members, to draw policy conclusions from the experiences and expertise from Members and to work both ways in influencing policy while also using policy to help inform practice (although this implementation role is not as critical in the IUCN context).

There will also be several practical difficulties. IUCN will have to establish appropriate alliances with organisations that believe in this role and that will enable syntheses based on credible and appropriate field work. It will also have to ensure its reputation among donors as an organisation that can play such a role effectively.

We believe that as a first step IUCN has to acquire a very good understanding of exactly how to link policy to practice effectively and how it can best be used vertically and horizontally across the different components of the organisation. Phase I of the Review was limited in what it could crystallise on this important topic. The Forest Conservation Programme's Green Thread approach (refer to Box 5) could provide very useful information if used as a case study for the second phase of the Review. Ongoing and completed initiatives to improve IUCN's operations and to effect change, such as the Membership Engagement Strategy and Regionalisation and Decentralisation Review can also provide helpful insights.

**We recommend that the Secretariat explores the possibility of expanding its capacity to play an integrating and synthesising role, mainly using Members' fieldwork rather than moving further towards becoming an implementing organisation. This means that its own footprint in the field (if any) should be directly aligned with its policy work.**

**We therefore recommend that Phase II of this Review should be used to expand IUCN's understanding of the concepts and mechanisms involved in linking policy and practice for policy influence.**

## **8.6. Strengthening policy capacities in IUCN**

Our findings have shown that there is an impressive amount of policy expertise and experience in IUCN, with excellent work on influencing policy done in a number of programmes. Yet there is confusion about what constitutes "policy" or "policy influence" in IUCN, and an expressed need for improved understanding of what policy influence is and the mechanisms used, and of the way in which IUCN manages its policy work. Perceptions are widespread across programmes that IUCN does not yet have a clear vision and priorities for policy work, especially as it moves into "non-traditional" arenas; that it needs to improve its insight into policy influence concepts, models and mechanisms; and that it lacks adequate processes, intelligence, information systems and feedback loops for effective planning of policy work.

These perceptions were supported by our findings that IUCN's policy work shows little sign of focus and coordination in key policy areas, except for work on some of the international conventions. Furthermore, the planning of policy work is seldom systematic, with often vaguely or incorrectly phrased initiative and programme outcomes, and inadequate theories of change that can clarify the relationship between inputs, assumptions, strategies used and expected outcomes. Policy planning is usually not based on a systematic study of the particular policy arena and there are few systems in place that provide feedback on the effectiveness of policy influence activities. More rigorous planning should be balanced with the flexibility to adapt to opening policy windows and changing circumstances.

Work on influencing policy is already a major part of IUCN's programme activities. It is steadily increasing in a considerable number of programmes and is likely to become even more important as IUCN strives to increase its influence in a complex world. It is therefore significant that the top two interventions proposed by

"Readiness, rather than achieving impact with each event or study, may be a more important goal. For those sponsoring policy inquiry and building capacity... an objective is to increase chances so that supported individuals and organisations can take advantage of policy windows, or to identify ways to create windows, which, in turn, highlights the critical role of policy entrepreneurs".

*Lindquist, 2001, p 19.*

programme informants to improve policy work, focus on improved planning and on developing greater policy expertise across the organisation (section 4.5). These findings and recommendations confirm a desire to ensure that policy work is embedded across the Secretariat and Commissions programmes, and not kept within the ambit of only a few people.

This is appropriate, as policy work has been shown to be part of all Secretariat and Commissions programmes, and the full power of IUCN's work across the world should be brought to bear on the policy arena. It also implies that IUCN should not only have a greater focus on increasing policy understanding across the organisation, but also on recognising, deploying and using policy advocates and policy entrepreneurs (advocates who are committed to certain causes and solutions, who are adept at reading the policy environment, and who through good positioning can obtain significant policy change) across IUCN to enhance the impact of its work. We believe that there is very significant policy expertise in the Secretariat (at headquarters and in the regions) that can be more effectively deployed. The Commissions, constituted on the basis of their technical expertise, are also likely to have many members with relevant policy expertise. We are not sure of the measure to which they are being sought out to assist with policy efforts. It could be a useful exercise to mobilise such expertise in order to broaden the pool of people who can act as policy entrepreneurs and advocates where appropriate.

**We recommend that IUCN adopts a strategy to strengthen its capacity across the Secretariat and Commissions' programmes in at least five areas: (i) understanding of general concepts, models and mechanisms for policy influence; (ii) understanding and streamlining of its own approaches to policy work; (iii) nurturing of policy entrepreneurship, advocacy and synthesis; (iv) policy planning, monitoring and evaluation; and (v) developing appropriate policy expertise to work in interface with new domains.**

Specific attention can be paid to the following:

- Exposing IUCN Secretariat and Commissions to general theories, models and experiences related to policy influence, illustrated by case studies from IUCN's long history of policy involvement and by connecting to external research on policy influence effectiveness;

- Engaging in developing a clear policy framework (as an integral part of the Programme) similar to what was done for the IUCN Programme – and ensuring wide dissemination and buy-in from key players across the organisation;
- Strengthening policy planning processes to be systematic and include consultation with IUCN Members;
- Developing plans for policy influence based on robust theories of change, yet using adaptive management with the flexibility to take into account changing contexts and opening policy windows;
- Establishing self-reflection and feedback mechanisms through which IUCN's effectiveness in influencing policy can be assessed and used for improved policy work;
- Exploring the implications of IUCN's strong focus on policy, and its mainstreaming across the organisation, for the appointment and deployment of human resources and for the effective mobilisation of such expertise by the Commissions.

On the other hand IUCN's emphasis on policy also stands to benefit from a more formidable profile in policy leadership. Programmes engage in their own promotion of their policy work, and championing IUCN's policy role and work from an institutional point of view is part of the roles of the President and Council members, Director General, Director Global Programme, Head of PBIA, Special Adviser Global Policy and others. Their enthusiasm and expertise are acknowledged, yet many key informants felt strongly that IUCN also requires some of the world's best policy expertise (in the broad sphere of the environment) to champion and guide it on its path – not as permanent staff, but on an advisory basis to Council and in support of the advice and guidance given by PGCG and key individuals responsible for developing IUCN's policy directions. If people of the right calibre are appointed to this task, it will enhance IUCN's profile and help to keep it on the forefront of policy developments.

**We recommend that IUCN strengthens its policy profile, leadership and focus through the appointment of a high level advisory panel consisting of external policy experts or the appointment of a distinguished policy expert who can regularly inform IUCN's overall policy direction and help champion its policy work.**

**We recommend the Director Global Programme, the PPG and the PGCG work purposefully during the 2005-2008 Intersessional period to shape IUCN's strategy for greater focus and impact in its policy work - as was done with the IUCN Programme during the last Intersessional period.**

## **8.7. Institutional systems supporting policy work**

The brief for this Review did not include an examination of the institutional systems supporting IUCN's policy work. We can therefore not present any relevant findings or recommendations, although we came across many issues related to the architecture underpinning IUCN's policy performance. We raise some of the most important issues here, as we believe that IUCN will have to give these systems some strategic thought and ensure their refinement if it wants to improve its policy influence. This view was confirmed by the fact that programme informants referred to institutional systems as one of the obstacles to policy performance and also recommended that they be a target for intervention if the policy work is to improve.

Stakeholders acknowledge the excellent work done by the Policy, Biodiversity and International Agreements (PBIA) unit in mobilising and coordinating IUCN's policy expertise to inform and support international policy initiatives, as well as the significant efforts by PBIA and the Policy and Global Change Group (PGCG) under guidance of the Director Global Programme to streamline frameworks and procedures for policy work. For example, the recently released *Secretariat Guidelines for IUCN's Policy Work* will go a long way towards resolving some of the issues around the roles and responsibilities of the various components of IUCN in policy decisions and processes. On the other hand some problems will remain as they have to do more with how the different components actually work and relate to one another, than with the frameworks within which they operate.

There are a number of institutional issues warranting attention, including the following:

*(i) Roles and connections in governing and directing IUCN's policy work*

Members develop IUCN general policy through the Resolutions and Recommendations adopted at the World Conservation Congress. The Council interprets these, gives rulings on policy and determines policy guidelines. The Director-General is responsible for implementing IUCN general policy as well as the Council rulings and guidelines. It is therefore important that all responsible components work well to ensure the sound functioning of the part of the system that determines IUCN's policy focus and direction.

Currently this system presents significant challenges. The number of Resolutions has become almost unmanageable and Council's role is becoming more and more important in interpreting the general policy and setting policy priorities. This requires good articulation between the different parts of the Union carrying responsibility for setting and executing IUCN policy; a Council that embraces its important role and operates without partisan interests; and sophisticated mechanisms that enable Council to direct and prioritise the policy work. Weaknesses have been identified in several respects, and consequently the Secretariat has become more assertive in determining what policy work is being done (One of our findings is that relatively few programmes refer to the Resolutions as a basis for determining their policy outcomes for a certain Intersessional period). We trust that the work of the Governance Task Force would serve to alleviate some of these problems.

*(ii) Mainstreaming policy work in the Secretariat*

All efforts should be made to avoid any notion that there is an "exclusive" group of people who do policy work and others who are excluded from this role. It is imperative that it is recognised as an integral part of the IUCN Programme and of all component programmes, and that policy expertise should be embedded across the organisation.

*(iii) Roles and connections within the Secretariat for coherent policy work*

Consequently it is important to ensure that there are no disconnects between the majority of programmes and those entities with specific roles and responsibilities for policy. The coordinating work done by the PBIA is appreciated across the programmes, but questions remain around the roles of and connections (or lack thereof) between the entities with overall responsibilities such as PBIA, the multilateral offices, the Special Adviser Global Policy, the Chief Scientist and the Policy and Global Change Group; as well as the connections between them, the other component programmes and other parts of IUCN with involvement in policy.

The role of, and linkages with, Corporate Strategies on policy work should be clarified, as well as those of the cross-cutting functions such as social policy, economics, gender and soon-to-be knowledge management. Clarity should be given on strategic and operational separation between IUCN's multi-lateral and bilateral interests.

*(iv) Coordinating and guiding policy work without limiting innovation and opportunity*

Some of the best policy work in IUCN is done in programmes outside the PGCG. It is therefore important that this group is not unintentionally positioned and perceived as “*the policy group*”, but as a structure that supports and helps to coordinate policy work across the institution. Their methods of operation should support this notion, and a key challenge is thus to build trust and buy-in across the institution, and provide coordination, advice and direction without limiting innovative policy work in any part of the Union.

An important challenge lies in optimising the obvious synergies and complementary expertise and experiences between the Regional programmes and the coordinating and guiding groups at headquarters. Simple, effective mechanisms might help facilitate vertical two-way communication, information sharing and synthesis that enable each component to learn lessons and draw from the expertise of the other.

*(v) Optimising Commissions' and Members' roles in influencing policy*

Findings have shown that Commissions have played an important role in influencing policy, especially in providing technical advice during the setting of policy agendas and policy formulation and in drafting relevant legislation. We are not sure of the extent to which Commissions' management systems optimise the use of this important resource for this purpose, and whether the interfaces between their structures and the other components of the Union facilitate their mobilisation for policy influence efforts.

Similarly, Members' participation is an important aspect of many policy initiatives in IUCN, but we are not sure that attention has been paid to any systemic change that might be needed to mobilise Members' expertise and political power in the policy arena, especially in areas where the Secretariat and Commissions have inadequate expertise and limited access to important forums.

**We recommend a review of the institutional systems underpinning IUCN's policy work to ensure that they support effective governance and operation of IUCN's policy work, and that its comparative advantage is fully used in the process.**

## **8.8. Vertical integration for policy influence**

The need for vertical integration between the different components of the IUCN Secretariat has often been discussed and addressed in IUCN reviews. We want to emphasise only once again the need to improve the use of this important part of IUCN's comparative advantage. As discussed elsewhere in this chapter, there are in spite of recent improvements still perceived disconnects between the groups responsible for policy coordination and focus at global level, and the Regional programmes. We have proposed that joint planning around collaboration to influence key policy levers, including but not limited to global conventions, could help to facilitate better integration between the role players at regional, national and global levels.

Similarly, within a specific global theme or biome, collaborative planning and strategic management in some programmes are not optimal to ensure from the beginning that national and regional experiences inform global policies and work on the same policy levers where possible.

More importantly perhaps, as IUCN seeks to find its most effective footprint in regions and especially in the countries in which it works, the strength and expertise of IUCN as a global organisation has not been brought to bear in IUCN's positioning at regional and especially at national levels. Regional programmes have been shown to be somewhat more responsive than

proactive in their approach to policy work. While a rigid approach which does not allow IUCN to take advantage of opening policy windows will be counter-productive, more systematic work with governments to bring about the necessary changes at national level might increase the effectiveness of IUCN's influence at that level.

In particular, IUCN needs to *make more use of the fact that it is a global organisation whose expertise at regional and global levels can be brought to bear at national level, or whose global and national expertise can inform regional trans-boundary work*. This is the real strength of IUCN which gives it a comparative advantage beyond anything that other organisations can mobilise.

**We recommend that IUCN pays more strategic attention to vertical integration aimed at strengthening its policy influence, with the specific objectives to (i) improve joint planning and targeting of policy levers between programmes and within programmes working on a similar theme or biome; (ii) use global as well as national expertise to inform regional trans-boundary work; and (iii) bring its global expertise and reputation to bear to support more proactive and systematic work with governments at national level.**

## **8.9. A purpose/issue-driven versus event-driven approach**

A very considerable portion of IUCN's time and resources goes into the convening of events that stimulate networking and serve as platforms to bring diverse groups together towards a common goal. This convening function is central to IUCN's operation and has been remarkably successful in building its visibility and credibility among diverse constituencies.

IUCN also participates in many events organised by others. A significant amount of human resources are used to participate in COP and other meetings, including at regional and national levels, which serve as forums for policy planning and influence.

The importance of these events in the work of IUCN cannot be disputed. They are recognised as important mechanisms through which policy can be influenced and much of the successful policy work of IUCN would have been impossible without these. However there is considerable concern among informants that the organisation has become too "event-driven"; that it convenes and facilitates and participates without necessarily playing a leadership role; that it neglects learning lessons and conducting follow-up activities; that the events distract from other important work; and that IUCN does not have a long-term strategic approach that justifies the very substantial time and resources spent on some of these events.

Based on our own and informants' observations we believe that convening and participating in events will remain essential ingredients of IUCN's success in influencing policy as long as

- these events form an integral part of purposeful, focused, critical strategies to bring about change, in other words, they should never be an end in themselves, but instruments used very purposefully towards a very specific goal or set of goals;
- IUCN works in a purposeful and strategic manner that prioritises events based on their potential benefit and essential role as steps in longer-term strategies, versus the investment in time and resources;
- IUCN continues the welcome trend set by PBIA at recent COP meetings in making the events "lighter" yet more strategic in terms of IUCN participation, through the engagement of a limited number of IUCN participants and directing and coordinating their input strategically for the most effective policy influence;

- participation in the event is planned and managed in a manner that promotes follow-up within and without IUCN, and ensures follow-up (consolidation, reflection, sharing across the organisation, informing strategies) by IUCN as part of longer-term strategies for change;
- IUCN uses these events purposefully where appropriate with the specific intent to strengthen its leadership role in the policy arena.

The Green Thread approach of the Forest Conservation Programme can serve as an example of the application of several of these principles.

**We recommend that IUCN develops an approach that uses events as instruments for change only when they are an essential part of purposeful, longer-term, priority strategies to influence policy, in other words, events should become instruments or steps in purpose or issue-driven strategies to influence policy.**

**We recommend that IUCN develops strategies to ensure optimal use of these events, among others through planning and management of processes that promote follow-up and strengthening of its leadership role.**

## 8.10. Moving into Phase II

Many questions remain unanswered, but Phase II provides IUCN with an opportunity to develop an in-depth insight into some of the most critical issues that can advance its policy influence. Phase II of the Review will focus on assessing the effectiveness of IUCN's policy influence through the use of selected case studies. At the same time these case studies can be designed and executed to illuminate specific critical issues that can help to improve IUCN's policy work.

**We recommend that the case studies selected in Phase II to determine the effectiveness of IUCN's policy influence, also at the same time be used to provide deeper insight into specific critical issues that can help to improve IUCN's policy work.**

We have not developed a set of criteria for selection of case studies, but rather aspects that need more careful study (i-viii below) from which examples can be selected to demonstrate that specific aspect. If carefully selected, one particular case study can be used to demonstrate more than one of these aspects.

We furthermore propose that at least two aspects are investigated as *integral parts of all* case studies, namely

- The generation, synthesis and flow of knowledge into, within and out of IUCN;
- The role of relationships, alliances and partnerships within, and with parties outside, IUCN.

Based on our Review observations those aspects of IUCN's policy work that we believe warrant closer attention are given in order of priority from i to viii below, from the most to the least critical:

- i. The conceptual approaches and strategies used to link policy influence and practice;

- ii. Work based on vertical integration, for example within a specific biome where cascading collaboration is promoted from global to regional to national level and vice versa (e.g. the Green Thread approach);
- iii. Collaborative efforts aimed at optimising the potential presented by the unique structure of IUCN – component programmes, Members and Commissions - focusing on the value and dynamics of such partnerships;
- iv. IUCN's movement into “non-traditional” domains, for example trade;
- v. Interaction with new audiences necessitated by changing societal, economic and/or political dynamics such as
  - the private sector or networks that include powerful private sector actors
  - increasingly powerful arms of government affecting the environment, for example Finance and Planning Ministries, Trade and Industry, etc.;
  - the decentralisation / devolution of power to local authorities;
  - powerful multilateral agencies, e.g. The World Bank;
  - increasing civil society and other “non-traditional” stakeholder involvement in policy-making;
- ix. Work done to influence national policy and strategy in a changing political, social and economic environment at national level (Uganda will be a useful example).
- x. The difference between purpose/issue-driven and event-driven approaches to influencing global or regional policies;
- xi. Work on a specific policy target by different IUCN components over a significant period (not necessarily in collaborative mode) to determine how they have supported (or detracted from) one another.

We also recommend that case studies be selected *mainly* where policy influence efforts are perceived to have succeeded, but in some cases also where they might have failed. Important lessons can be learnt from both types of experience.



## **LIST OF ANNEXES**



## **Annex 1: Terms of Reference**

### **EVALUATING THE INFLUENCE OF IUCN'S POLICY WORK**

#### **Rationale and Context for the Evaluation**

Results-based management in IUCN as well as an increasingly competitive and demanding environment has led to increasing pressure to demonstrate the outcomes of IUCN's work and the impact it has on the world. A major part of IUCN's work is in the policy arena and it is becoming progressively more important for IUCN to improve its ability to influence policy making in line with the changes it aims to bring about in the world.

Despite the significant focus of IUCN's work on policy, the majority of contractually required evaluations in IUCN concentrate (at the request of donors) on the effectiveness and efficiency of project and programme outputs. Few look at the effect of these projects or programmes on policy, and a recent content analysis of evaluations reveals that projects often lack a policy framework in their design and implementation. It remains unclear to what extent IUCN makes use of its ability to connect field experiences to policy, or whether its strategies are leading to the intended (and desirable) policy outcomes.

The purpose of this Review is to take the first steps required in order to determine the influence of IUCN's work on selected policy making at global, trans-national, national and municipal/local level.

#### **The Approach**

This Review will include two Phases:

Phase 1: Building a picture of what IUCN is doing to influence policy making, why and how.  
Phase 2: Evaluating the effectiveness of IUCN's work in influencing selected policy making towards the achievement of its mission.

Phase 1 will -

- build a picture of the intended policy outcomes and supporting strategies of component programmes and of IUCN overall
- determine the influence (and possibly the impact) of the selected policy work of IUCN, and
- help improve the policy work of IUCN towards the ultimate aim of improving the condition of people and ecosystems in the world.

The Review should enable IUCN programme managers to have a better understanding of the effects of their policy work and provide information that will help them to improve their policy influence.

#### **Audience for the Evaluation**

Commissioned by the Director, Global Programme, the audiences for the Review are the Policy and Global Change Group, and the Programme and Policy Group (PPG) and its Executive.

#### **Evaluation Team**

Zenda Ofir will lead the Review with support from the regional M&E staff and consultants to conduct the wide range of interviews required. Assistance in visualising the data will be provided by Jean Thie.

#### **Evaluation Issues and Questions**

The questions that the Review Team will seek to answer in Phase I will largely be descriptive questions, including the following:

- What does IUCN do to influence policy making?
- What are the drivers that determine its policy priorities? What situation analyses, if any, are used and how are they used?
- How purposeful and systematic is IUCN in its policy planning, and to what extent does it need to be?
- Are the intended outcomes of the component programmes clear, coherent and linked to the IUCN Programme?
- What strategies does IUCN use to influence policy making?
- What is the role of partnerships and alliances in these efforts?
- What contextual factors affect policy work in IUCN?

Some of the questions that Phase 2 will attempt to answer are:

- How successful has IUCN been in influencing selected policy-making at global, regional, national and local/municipal levels? What changes has it actually brought about?
- Are these changes in line with what was intended? If not, what are the reasons?
- How well are these changes aligned with the IUCN Programme?
- Were there unexpected policy outcomes which were not part of the policy programme and project plans?
- What were the "secrets of success" and what were the impediments to success?

### **Methodology for Phase 1**

Phase 1 will describe IUCN's approaches to policy planning, the intended outcomes of the policy work, its main strategies and policy initiatives, as well as some of the contextual factors that affect the policy work. In view of the complexity and scope of IUCN's policy work, it will be impossible within the available resources to develop a comprehensive picture. Methods will therefore be used to focus and limit this descriptive phase to a manageable set of outputs.

Data for Phase 1 will be gathered through a document review and interviews with Regional Directors, Programme Coordinators, Global Thematic Heads, Commission representatives and others informed of, and involved in, IUCN's policy work. Preliminary interviews will be conducted during the recent PPG meeting in Bangkok to collect basic information and to test the approach and methodology. These will be followed by more intensive interviews to collect the required information. Patterns emerging from results of Phase 1 will be used together with a set of criteria to select case studies for an evaluation of the influence of IUCN's work on policy over the last two Intersessional periods with a view to strengthening the influence of policy work over the next Intersessional period.

### **Schedule**

Phase I will be carried out between March 2004 and January 2005, utilising 90 person-days during this period:

- Agreement on conceptual framework and questions – March 2004
- Working session with IDRC – Universalia to refine framework and methodology – April 2004
- Participation in Bangkok PPG meeting to test questions – May 2004
- Intensive interviews – May – June 2004
- Preliminary findings and peer review session with IDRC – October 2004
- Preliminary findings refined and presented to Bangkok PPG meeting – November 2004
- Draft report presented to PPG Executive meeting January 2005
- Comments from PGCG and PPG – early February 2005
- Final report submitted mid February 2005.

## Annex 2: The Review Matrix

Issue	Key question	Sub questions	Data sources
The nature of the policy work	What is IUCN doing to influence policy-making?	<p>What constitutes "policy" in IUCN? To what extent is it defined to establish boundaries for IUCN's policy work?</p> <p>What emphasis is placed on policy in the Secretariat and Commission programmes?</p> <p>What main policy initiatives were launched by the Secretariat and Commissions over the last two Intersessional periods?</p> <p>How is the policy work of the Secretariat and Commissions distributed across the policy cycle?</p> <p>What roles did partnerships and alliances play?</p>	<p>Programme informants</p> <p>Key informants</p> <p>Programme planning documents</p> <p>IUCN and programme reports</p> <p>IUCN and programme websites</p>
The factors driving and shaping the policy work	<p>Why is IUCN doing what it is doing to influence policy-making?</p> <p>(What contextual factors affect IUCN's efforts to influence policy-making?)</p>	<p>What motivates the policy work in IUCN programmes?</p> <p>Were there any (r)evolutions in the Secretariat and Commissions programmes approach to their policy work during the last two Intersessional periods? If so, what determined these?</p> <p>What are the main factors that have facilitated or inhibited policy work in the Secretariat and Commissions?</p> <p>What mechanisms do the Secretariat and Commissions use to track the effect of their efforts to influence policy-making?</p>	<p>Programme informants</p> <p>Key informants</p> <p>Programme documents</p> <p>IUCN and programme reports</p> <p>IUCN Programme</p>
The approaches and mechanisms for influencing policy	How is IUCN going about influencing policy-making?	<p>What are the approaches used by the Secretariat and Commissions in planning for policy influence?</p> <p>How systematic and coherent are the Secretariat and Commissions in their planning for policy influence?</p> <p>What is the basis for the policy conclusions reached in the Secretariat and Commission programmes?</p> <p>What mechanisms do the Secretariat and Commissions use to ensure linkages between policy and practice?</p> <p>What mechanisms do the Secretariat and Commissions use to influence policy-making? (How do the Secretariat and Commissions manage their knowledge for policy influence?)</p>	<p>Programme informants</p> <p>Key informants</p> <p>Programme planning documents</p> <p>IUCN Programme</p> <p>IUCN and programme reports</p> <p>IUCN, Commission and programme websites</p> <p>IUCN Knowledge Network</p>
Intended outcomes	What is it trying to achieve?	<p>What policy changes or outcomes did the Secretariat and Commissions pursue during this Intersessional period?</p> <p>Is a theory of change emerging on which their policy influence efforts are based?</p>	<p>Literature review</p> <p>Document review</p> <p>Results of data analysis</p>



### **Annex 3: List of Programmes**

#### **Regional and Country Programmes**

1. Asia (ARO) – consolidated (*used in tandem with regional and national programmes*)
2. Asia Biodiversity Programme
3. Asia Ecosystems and Livelihood Group
4. Asia Law Programme
5. Asia Lao PDR Country Programme (*limited inclusion*)
6. Asia Nepal Country Programme (*limited inclusion*)
7. Asia Pakistan Country Programme
8. Central Africa (BRAC)
9. Eastern Africa (EARO)
10. Mediterranean Cooperation (*for this Review classified as a Regional programme*)
11. Meso-America (ORMA)
12. Southern Africa (ROSA)
13. South America (SUR)
14. West Africa (BRAO)

#### **Global Thematic Programmes**

15. Business and Biodiversity
16. Economics and the Environment
17. Forest Conservation
18. Gender
19. Marine
20. Social Policy
21. Wetlands and Water Resources

#### **Multilateral Offices, Global and other Initiatives**

22. Chief Scientist
23. Europe (ROfE) (*in some cases classified as Regional*)
24. Policy, Biodiversity and International Agreements (PBIA)
25. USA (*in some cases classified as Regional*)

#### **Joint Commission / Global Thematic Programmes**

26. CEM / Ecosystem Management Programme
27. CEC / Environmental Education and Communication Programme
28. CEESP
29. CEL / Environmental Law Centre (*classified with Commissions, not Multilateral Offices*)
30. SSC / Species Programme
31. WCPA / Programme for Protected Areas



## Annex 4: List of Informants

### Key Informants

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## Annex 5: Research Instruments

### A. Interview with Programme Informants

Note: All questions except 4 and 15 refer to the current Intersessional Period.

#### A) *Outlining the policy effort*

1. What definition of policy has been used to establish the boundaries for policy work in your programme?
2. Please provide us with a brief overview of the policy work in your programme during this Intersessional Period (without going into any detail of specific initiatives).
3. (a) How much emphasis has been placed in the programme on policy work? What percentage of the programme effort has been spent on policy related work? (b) What motivates the focus on policy in the programme? Why do any policy work at all?
4. (a) Briefly outline any (r)evolution in the policy work in the programme over the last eight years, for example in terms of focus or strategies, and (b) what were the reasons for the change (if relevant)?

#### B) *Planning*

5. (a) In general, at which component(s) of the following policy cycle was the policy work directed (add components if they are not covered here): problem identification; agenda setting; research; negotiation; formulation; implementation; accountability; evaluation; enforcement; review; and (b) Why?
6. What methods were used to determine which policy outcomes should be pursued in the programme (for example situation analysis; expert opinion; "tradition"; surveys)?
7. (a) How desirable is it to be purposeful and explicit in planning the policy work in the programme, and why? (b) How do you manage this in practice, for example to what extent is the policy work in the programme planned purposefully and explicitly?
8. What was the general approach to policy planning in the programme? For example, were programme theories or models developed that increased your confidence that implementing certain strategies would bring about the changes you wanted (what people in planning jargon call a "programme theory", "theory of change", "theory of action", "logic model", etc.)?  
*(If they do plan in this manner, obtain relevant documents).*
9. What were the main sources of knowledge that informed the policy conclusions and positions in the programme? For example, can you estimate the percentage that have been informed by (i) lessons from field work, (ii) expert advice, (iii) synthesis of information from a variety of sources within IUCN, (iv) synthesis of information from a variety of sources, including external sources, (v) others (list them)?
10. (a) How important are policy-practice links in the programme? (b) What mechanisms, if any, have been used to ensure effective policy-practice links?

#### C) *Strategies and intended outcomes*

11. What were the (up to four) most significant intended policy outcomes of the programme for this Intersessional Period? (In other words, the most significant intended changes that the programme was to bring about in the world through its policy work).
12. For each intended outcome noted in response to question 11, give the reason(s) why it was selected as a programme priority.
13. What strategies were implemented to bring about each of the intended changes noted in response to question 11?
14. Do you have a mechanism for tracking the policy influence of the programme? If so, of what does it consist and how is it used?

*D) Policy initiatives*

15. Briefly describe up to four of the most significant policy initiatives that have been undertaken in the programme *over the last two Intersessional Periods*. We are particularly interested in (i) major efforts that have been ongoing over a number of years – even over Intersessional Periods; and (ii) those that you believe have had the most significant policy influence.

For each, note at least

- what policies or policy-making processes were targeted for change
- the level (global, national, etc.) and the geographic area at which they were aimed
- the period during which the initiative took place
- the programme's role in the initiative compared to that of other major role players (list internal and external alliances and partnerships)
- a short description of what was done and what was achieved.

*E) Context*

16. Which notable factors have (i) facilitated and (ii) inhibited your policy work during this Intersessional period?
17. What are the key things that will help to improve the policy work in the programme?

*F) Follow-up*

18. Who else is crucial for us to talk to, and what documents would be important to consult in the context of what we have discussed
-

**B. Interview with Key Informants***A) Outlining the policy effort*

1. How should IUCN define policy in order to establish boundaries/limits for its policy work yet stay true to its mission? Or, *should* IUCN establish boundaries/limits for its policy work and if so, what should they be?
2. Can one put a percentage on the amount of effort IUCN should put into its policy work compared to other endeavours? If so, how much of IUCN's work should focus on policy?

*B) IUCN's performance in policy work*

3. Please identify and summarise IUCN's key policy achievements or "streams of policy influence" since 1992. Can one categorise these "streams of policy influence" in a systematic way and if so, what would these categories be?
4. There is a general perception that over many years IUCN has been a strong influence in the conservation policy arena in particular. Some people feel that during recent years IUCN has moved from being a "policy and technical assistance organisation" to a "pseudo aid agency". How prominent is IUCN currently in those policy areas that would help it to achieve its mission? In your view, is it (still) regarded as a leader, an authoritative voice called upon first when credible policy input is required in areas that relate to the IUCN mission? Why / why not?

*C) Relevance and leadership in policy work*

5. On what elements of the policy cycle (given above) should IUCN focus and why?
6. What should determine IUCN's policy priorities? In other words, what should the drivers be for its policy work?
7. Generally speaking, in which policy areas should IUCN *now* be active (mainly globally, but also regionally, nationally and locally if it is possible to comment at these levels) to ensure leadership in the world while staying true to its mission? Does it have a specific "policy niche" where it should play a leading role?  
Or to put it somewhat differently, in view of the changing external environment in which IUCN operates, as well as internal changes (for example the regionalisation and decentralisation during the past decade), in what areas should it position its policy work if it wants to bring about the necessary changes in the world towards achieving its mission, and why?
8. Can you comment on the perception in some quarters that IUCN's policy work is too "event driven" and too focused on a few existing policy instruments (Conventions)?
9. Related to questions 6 and 7: What should IUCN aim to achieve through its policy work to ensure its leadership while staying true to its mission? In other words, what are the main changes it should try to bring about through its policy work?
10. What are the key strategies that IUCN should use in its policy work to ensure that it makes full use of its potential and strengths as an organisation, and draws on a coherent body of theory and practice to influence policy? As a related issue – what strategies can it implement to ensure that its field work strengthens its policy work and vice versa?
11. What else should IUCN have in place to retain (or re-establish) its leadership role in the policy arena?

*D) Additional information*

12. Are there any questions that we should have asked that we did not ask? Are there any other issues that you would like to bring to our attention in the context of the Review?



## Annex 6: Bibliography

*The following list is of documents that we had available in hard copy format. We also accessed a significant portion of the information on websites including those of IUCN Secretariat programmes and Commissions; the main Conventions such as CBD, World Heritage, CITES and Ramsar; and other relevant organisations such as UNEP, ODI and IDRC.*

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## Annex 7: List of Findings

	<i>page</i>
Finding 1 ..... <i>Influencing policy is not a clearly delineated field of work in IUCN. Programmes do not use a formal definition of policy or set boundaries to help focus their policy work, leading to some confusion about what constitutes "policy" or "policy influence" in the IUCN context.</i>	11
Finding 2 ..... <i>Programmes do not view policy work in a narrow sense, for example as working only with frameworks created by and between governments. A significant number are inclined to regard "almost everything" done in their programmes as "policy work".</i>	12
Finding 3 ..... <i>More than half of IUCN programmes regard influencing policy as the major component of their work, with 38.5% relating 90-100%, and another 15.4% of programmes relating more than 60% of their efforts to policy work.</i>	12
Finding 4 ..... <i>Although roughly 10-20% of the targets of IUCN's key policy initiatives are "non-conservation" groupings, institutions or frameworks affecting conservation and the environment, the level of purposeful effort and resources used for these initiatives compared to IUCN's traditional targets are still viewed as quite limited.</i>	13
Finding 5 ..... <i>The regionalisation of IUCN and the proliferation of international agreements have helped to create an impressive number of more than 60 specific policy targets as well as a significant number of unspecified groupings at which Secretariat and Commissions' key policy initiatives have been aimed since 1997.</i>	13
Finding 6 ..... <i>IUCN's policy targets are diverse and include at least 12 global conventions and forums; 15 global institutions and institutional networks; 18 regional authorities, frameworks, forums and institutional networks; a large number of national and sub-national frameworks, authorities and forums; as well as several global development programmes, IUCN forums and unspecified groupings and targets such as civil society, indigenous peoples, trade policies, corporate sector policies and international gender forums and networks.</i>	13
Finding 7 ..... <i>The vast majority of the important policy initiatives remain in those thematic areas in which IUCN has built its reputation, although there has been some shift to themes of growing prominence such as climate change, social policy, economics, gender, communication and education, and work with the private sector.</i>	18
Finding 8 ..... <i>The majority of IUCN's "most important" policy initiatives in all programmes remain targeted at global level, but the presence of regional and national offices has shifted a significant part of its policy work to regional, national and sub-national level, where it focuses very strongly on national and regional government frameworks and networks, and capacity building among civil society.</i>	18
Finding 9 ..... <i>There is little evidence of purposeful, concerted efforts by IUCN to concentrate its most important policy work across programmes on strategically identified policy targets, with the very notable exception of the Convention on Biological Diversity, which was mentioned by half of responding programmes as one of their four most important targets for policy influence.</i>	19
Finding 10 ..... <i>IUCN programmes' strong focus on policy influence is driven by factors inherent in the nature of the organisation - their search for the most powerful and cost-effective strategies to bring about desired change; their eagerness to affect governance systems, practice and powerful institutional agendas; willingness and flexibility to respond to opening policy windows; and programme interpretations of IUCN's mission, its comparative advantage and their mandates.</i>	20

- Finding 11 ..... 20  
*Three shifts in conceptualising policy work have occurred during the recent years in at least seven IUCN programmes:*
- (iv) *a much stronger focus on governance and working with governments at all levels, including with local authorities;*
  - (v) *more concerted targeting of new audiences such as Finance and Planning Ministries, the private sector, influential global, and non-conservation networks influencing the environment; and*
  - (vi) *new approaches to conservation, including*
    - *integrating environment and development – “conservation for the people”;*
    - *more service oriented and market based approaches;*
    - *from theme-based conservation to biodiversity which includes social, economic and legal issues in a cross-cutting manner.*
- Finding 12 ..... 20  
*These three shifts in conceptualising policy work have been driven by*
- *greater understanding of realities on the ground through regionalisation;*
  - *the need to make a stronger case for environmental management as part of poverty reduction strategies;*
  - *the realisation of the need to reach new audiences who exert a powerful influence on conservation and the environment*
  - *external factors such as changes in donor funding patterns and the devolution of power to local authorities;*
- Finding 13 ..... 20  
*Opinions and observations are that these shifts in thinking have not yet been embodied in widespread implementation and supported well enough to represent a true “revolution” in how IUCN conducts its work.*
- Finding 14 ..... 23  
*Nine programmes have experienced a gradual evolution in their policy work during recent years, leading to a more frequent, strategic and systematic emphasis on influencing policy.*
- Finding 15 ..... 23  
*This gradual change has been driven by greater appreciation of policy issues in maturing programmes, IUCN's increasing credibility among governments in regions and by organisational factors - the improved Intersessional Programme, findings of strategic reviews, better relations between Secretariat components, greater involvement in international conventions and IUCN's strong leadership that have underlined the importance of its role in influencing policy.*
- Finding 16 ..... 25  
*IUCN's policy work is facilitated by*
- *its capacity to produce and apply appropriate and timely technical knowledge (most frequently mentioned);*
  - *its credibility;*
  - *its partnerships and alliances;*
  - *the commitment of its staff and volunteer networks;*
  - *effective planning in some of the programmes;*
  - *collaboration between organisational components;*
  - *its agility in grasping opportunities;*
  - *the availability of financial resources for policy work; and*
  - *the freedom to experiment (least frequently mentioned).*
- Finding 17 ..... 26  
*While the lack of financial resources is the single most frequently mentioned, the vast majority of obstacles to effective policy influence in IUCN are perceived to be institutional, in particular*
- *the divergent views on policy engagement with “non-traditional” audiences such as the private sector (second most frequently mentioned);*
  - *inadequate capacity in policy work;*
  - *the tendency to work in “silos”;*
  - *lack of clarity on policy roles and processes;*

- *inadequate technical expertise in areas which are traditionally not well represented in IUCN; and*
- *lack of time (least frequently mentioned).*

*External contextual factors were noted in only 8.5% of responses.*

Finding 18 ..... 29  
*Programme informants' proposed areas of intervention for the improvement of their policy work are in order of frequency mentioned are*

- *Improve policy planning by developing a clearer vision and focus, better plans and planning processes, and more intelligence (most frequently mentioned);*
- *Improve policy expertise, in particular strengthening the capacity to do policy work and specific technical capacities in policy work;*
- *Ensure more integration and coherence across IUCN;*
- *Build greater capacity and leadership in new areas;*
- *Muster financial resources;*
- *Improve the institutional systems underpinning policy work;*
- *Strengthen partnerships, alliances and relationships (least frequently mentioned).*

Finding 19 ..... 30  
*Strategic planning for policy work is often rudimentary and not systematic enough to develop theories of change, contributing to the overarching impression of significant but scattered policy influence activity, with many programmes trying to be "all things to all people" without a clear idea of what is to be achieved in the long run.*

Finding 20 ..... 30  
*There is overwhelming support in IUCN programmes for purposeful and explicit planning of policy work while allowing flexibility for opportunities when policy windows open, although a significant number of Regional programmes prefer a more opportunistic approach.*

Finding 21 ..... 31  
*IUCN programmes use systematic scoping and analysis of the external environment within which they operate in only 15% of cases to determine policy priorities or outcomes, the IUCN Programme framework in 7.5%, and the IUCN Resolutions and policy positions in fewer than 7.5% of cases. They depend in at least half their efforts on expertise in the form of*

- *their own judgment of priorities;*
- *own field project experiences;*
- *input by the Policy and Global Change Group;*
- *consultative processes such as visioning;*
- *targeted interviews; and*
- *needs assessments and surveys.*

Finding 22 ..... 33  
*Programmes' perspectives on how they arrive at policy conclusions are inconclusive, but they generally use a combination of own results and lessons from field work (92.6% of responses), expert advice (88.9%), systematic synthesis of information from within IUCN (66.7%), and including external sources (70.3%).*

Finding 23 ..... 33  
*Several programmes confirmed that their mechanisms to obtain and synthesise information for policy conclusions were weak, especially when taking findings from projects to policy level, from country to regional and from regional to global level, and vice versa.*

Finding 24 ..... 34  
*There are very few systems in place to track or help assess the policy influence of individual programmes or for IUCN overall, and thus few feedback loops which can help IUCN to improve its policy work.*

Finding 25 ..... 37  
*IUCN's policy influence efforts focus much more frequently at the front end (Agenda Setting and Policy Development; 68.3%) than at the back end (Policy Review; 15.5%) of the policy cycle, driven by*

- *the need for early influence of policies*
- *traditional strengths such as fact-finding, collating information and publishing*
- *field work experiences that support problem identification, and*
- *IUCN's comparative advantage in convening, networking and providing technical advice.*

Finding 26 .....	37
<i>The programme groups have somewhat different emphases on the policy cycle: Global Thematic programmes are more proactive in influencing agendas and have little involvement in policy implementation; Regional programmes are more dependent on local contexts and priorities and are somewhat more active than other programme groups in the Policy Review stage; and Commissions are most active in influencing policy agendas through their technical expertise.</i>	
Finding 27 .....	38
<i>Policy implementation is not regarded as part of IUCN's mandate and its efforts in this area focus on the provision of guidance, tools and capacity building for policy implementation by others.</i>	
Finding 28 .....	42
<i>In line with the IUCN Programme, the 14 main categories of mechanisms used by IUCN to influence policy can be grouped to reflect its Knowledge, Empowerment and Governance strategy. One category focuses on positioning IUCN in the policy arena.</i>	
Finding 29 .....	43
<i>Three key mechanisms are used most consistently and frequently by IUCN programmes to influence policy:</i>	
▪	<i>Providing technical advice</i>
▪	<i>Mobilising and synthesising knowledge from different sources</i>
▪	<i>Convening stakeholders</i>
Finding 30 .....	43
<i>The most frequently used key mechanisms for influencing policy flow from the various elements that constitute IUCN's comparative advantage over many other organisations, and in addition to the three mechanisms in Finding 29, include</i>	
▪	<i>Utilising networks</i>
▪	<i>Advocating specific policy positions</i>
▪	<i>Building capacity for policy engagement</i>
▪	<i>Forming partnerships</i>
Finding 31 .....	44
<i>The deployment of IUCN's policy influence mechanisms confirms the strong focus at the front end of the policy cycle.</i>	
Finding 32 .....	47
<i>Although the vast majority of programmes believe that linking policy to practice is very important to their work, there is considerable weakness in this area, especially in using field work appropriately for learning lessons and synthesising these for use across the organisation.</i>	
Finding 33 .....	49
<i>The intended outcomes of IUCN's programmes are clearly linked to the IUCN Programme's K-E-G strategy and broadly reflect specific results under the Key Result Areas (KRAs) of the Programme.</i>	
Finding 34 .....	49
<i>In many cases the initiative and programme outcome statements provided during interviews did not reflect the intended outcomes as stated in programme documents, or lacked clear formulation as outcomes.</i>	
Finding 35 .....	52
<i>Mapping IUCN's efforts to influence policy on a policy cycle can create a useful framework for planning.</i>	
Finding 36 .....	53
<i>IUCN's profile as a leader in the global conservation policy arena has weakened considerably over the past decade.</i>	

## Annex 8: List of Policy Initiatives used in the Review

### GLOBAL THEMATIC PROGRAMMES

- |                                     |   |
|-------------------------------------|---|
| <b>Business and Biodiversity</b>    | <ul style="list-style-type: none"> <li>▪ The IUCN-ICMM Dialogue</li> <li>▪ Linking with Royal Dutch Shell on Biodiversity</li> <li>▪ Development of Tools and Guidelines for Integration of Biodiversity into Industry Policies and Work</li> </ul>   |
| <b>Forest Conservation</b>          | <ul style="list-style-type: none"> <li>▪ Facilitating Civil Society Participation in Redesign of World Bank Forest Policy</li> <li>▪ Civil Society Focus in Policy Formulation and Implementation through UN Forum on Forests (UNFF)</li> <li>▪ Participation in Collaborative Partnership on Forests (CPF)</li> <li>▪ Facilitating Civil Society Participation in Policy Formulation and Implementation through the International Tropical Timber Organisation (ITTO)</li> <li>▪ Provision of Technical Advice to UNFCCC Parties on Forest Sink Carbon Sequestration</li> <li>▪ Promoting the Involvement of Civil Society in the African Forest Law Enforcement and Governance (AFLEG)</li> </ul> |
| <b>Gender</b>                       | <ul style="list-style-type: none"> <li>▪ Incorporation of Gender Equity Policies and Practices in Ministries of the Environment</li> <li>▪ Raising the Profile of the Environment among Authoritative Organisations, Forums and Networks dealing with Women's Issues</li> </ul>   |
| <b>Marine</b>                       | <ul style="list-style-type: none"> <li>▪ Improvement of Ocean Governance through Existing International Processes</li> <li>▪ Supporting Efforts towards Fisheries Regulation and Restoration</li> <li>▪ Mobilisation of Knowledge and Knowledge Networks to Support Ocean Restoration</li> <li>▪ Development of a Global Network of Marine and High Seas Protected Areas</li> </ul>   |
| <b>Social Policy</b>                | <ul style="list-style-type: none"> <li>▪ Social Policy Change at Global Level - Influencing the CBD on Protected Areas</li> </ul>   |
| <b>Wetlands and Water Resources</b> | <ul style="list-style-type: none"> <li>▪ Influencing the Third World Water Forum and Ministerial Conference</li> <li>▪ Influencing the Ramsar Convention on Wetlands and the Convention on Biological Diversity (CBD)</li> </ul>  |

### MULTILATERAL OFFICES, GLOBAL AND OTHER INITIATIVES

- |   |  |
|---|--|
| <b>Chief Scientist</b>  | <ul style="list-style-type: none"> <li>▪ Highlighting Alien Invasive Species on the Global Agenda</li> <li>▪ Biodiversity and Human Health</li> <li>▪ Promoting Ecoagriculture</li> </ul>  |
| <b>Europe (ROfE)</b>  | <ul style="list-style-type: none"> <li>▪ Halting the Loss of Biodiversity in Europe by 2010 (Countdown 2010)</li> <li>▪ Influencing the EC Agenda on Conservation</li> <li>▪ Influencing the Ramsar Convention on Wetlands</li> </ul>  |
| <b>Policy, Biodiversity and International Agreements (PBIA)</b> | <ul style="list-style-type: none"> <li>▪ Fostering Multi-Stakeholder Analysis and Critical Dialogue through the Global Biodiversity Forum</li> <li>▪ Promoting Biodiversity through International Conventions and Agreements, with a Special Focus on the Convention on Biological Diversity (CBD)</li> <li>▪ Technical and Policy Support to the Formulation and Implementation of the UN Framework Convention on Climate Change (UNFCCC)</li> <li>▪ Strengthening Policy Work on Indigenous Peoples Issues</li> <li>▪ Influencing the Global Trade Agenda</li> </ul> |
| <b>USA</b>  | <ul style="list-style-type: none"> <li>▪ Promoting Conservation and the Environment at the UN</li> <li>▪ Promoting Conservation in the World Bank and UNDP</li> </ul>  |

**JOINT GLOBAL THEMATIC / COMMISSIONS PROGRAMMES**

- CEM / Ecosystem Management Programme**
- Promoting the Ecosystem Approach in International Conventions and Agreements
  - Influencing the UN Convention to Combat Desertification (UNCCD)
- CEC / Environmental Education and Communication Programme**
- Promoting Communication, Education and Public Awareness through the Convention on Biological Diversity (CBD)
  - Promoting Education for Sustainable Development (ESD) in major Forums
- CEESP**
- Promoting Governance and Co-Management of Protected Areas and Natural Resources at the World Parks Congress (WPC)
  - Influencing the Convention on Biological Diversity (CBD) Programme of work on Protected Areas
  - Promoting the Role of Mobile Indigenous Peoples in Conservation through Creation of the World Alliance of Mobile Indigenous Peoples (WAMIP)
  - Building Civil Society Capacity to Monitor Oil and Gas Operations in Mauritania
- CEL / Environmental Law Centre**
- Establishing the Covenant on Environment and Development
  - Access and Benefit Sharing
  - Improving the Use of IUCN's Permanent Observer Status at the UN
  - Supporting the Implementation of Part 12 of the UN Law of the Sea
- SSC / Species Programme**
- Supporting the Convention on the International Trade of Endangered Species (CITES)
  - Supporting the Convention on Biological Diversity (CBD)
- WCPA / Programme for Protected Areas**
- Assessment of the EC (Dg-Viii) Policy Changes needed to enhance EC Support to Africa, the Caribbean and Pacific (The Parks for Biodiversity Project)
  - Assessment to Determine how to Mainstream Biodiversity Concerns into the EC Development Projects Portfolio (The Biodiversity in Development Project)
  - Dialogue on Protected Areas with the Oil / Gas and Mining Industries
  - Influencing the CBD Programme of Work on Protected Areas
  - Setting the Agenda for Protected Areas through the World Parks Congress (WPC)

**REGIONAL AND COUNTRY PROGRAMMES**

- Asia (ARO)**
- Influencing Biodiversity Policy at National and Regional Levels in Asia
  - Influencing National Environmental Policies in Asia to Integrate Economics and Financial Considerations, and to Promote the Environment in Macroeconomic and Sectoral Policy and Development Plans
  - Development of a Forest Policy for Asia
- Asia Pakistan Country Programme**
- "Greening" the Development Planning Process through Conservation and Sustainable Development Strategies
  - Institutionalising Community Rights to Manage Natural Resources
  - Biodiversity Action Plan for Pakistan
  - Support to Understanding and Implementation of Key Multilateral Environmental Agreements in Pakistan
- Eastern Africa (EARO)**
- The Uganda Wetlands Policy - Strengthening Local Capacities in Policy Formulation and Implementation
  - Promoting Community Resource Management through the Kibale Semuliki Conservation and Development Project (KSCDP)
  - Supporting Civil Society Participation in the Development of an Environmental Action Plan for the New Partnership for Africa's Development (NEPAD)
  - Promoting the Involvement of Civil Society in the African Forest Law Enforcement and

- 
- Governance (AFLEG)
- Mediterranean Cooperation Mesoamerica (ORMA)**
- Supporting Implementation of the Barcelona Convention
  - Policy Influence for Gender Equality in Central America
  - Supporting the Implementation of the IPF/IFF through the Central American Forest Strategy
  - Promoting Environmental Impact Assessment in Central America
  - Development of a Central American Policy on the Conservation and Wise Use of Wetlands
  - Support of the Central American Alliance for Sustainable Development (ALIDES)
- Southern Africa (ROSA)**
- SADC Regional Wetlands Conservation Project Phase II
  - Support to the Implementation of Access and Benefit Sharing Legislation in South Africa
  - Regional Networking and Capacity Building for Policy Engagement in Southern Africa (NETCAB)
  - Programme for Improved Trans-boundary Natural Resource Management
- South America (SUR)**
- Supporting the Formulation of National Biodiversity Strategies in South American Countries
  - Supporting the Design of the High Andean Wetlands Regional Strategy
  - Supporting Work on Genetic Resources in South America
  - Reinforcing the Role of Particularly Sensitive Sea Areas in Conservation