



**External review of the IUCN-Holcim  
partnership agreement**

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## Preface

The original intention of this external assessment of the IUCN-Holcim partnership was to help the partners decide whether their collaboration should be continued, and, if so, on what basis. In fact, a positive decision has already been taken, in principle, about entering a second phase of the partnership. Nevertheless, I hope that this review will offer some useful analysis of the experience to date, as well as pointers to future, even more fruitful, work together.

A draft of this report was submitted to IUCN and Holcim on 5 October for a check on factual accuracy. I am grateful for the comments received, and now submit this final version for presentation to the 25 November meeting of the partnership Steering Committee.

I wish to thank IUCN and Holcim for giving me this opportunity to learn about their partnership. Good work has been done, and both organisations have deepened their respect for each other's strengths.

I also thank all those who took the time to discuss the partnership with me, as well as those who were prepared to complete the online questionnaire and help build the objective picture of performance that I have tried to present here.

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## Abbreviations

B <sup>2</sup> MD	biodiversity-based microenterprise development
BAP	Biodiversity Action Plan
BBP	Business and Biodiversity Programme
BMS	Biodiversity Management System
CBD	Convention on Biological Diversity
COP	Conference of the Parties
CSI	Cement Sustainability Initiative
CSR	corporate social responsibility
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit
IBAT	Integrated Biodiversity Assessment Tool
IUCN	International Union for Conservation of Nature
LEED	Leadership in Energy and Environmental Design
LNG	liquefied natural gas
NA	not applicable
nd	not dated
PEP	Plant Environmental Profile
RM	Relationship Manager
SC	Steering Committee
TEEB	The Economics of Ecosystems and Biodiversity
TOR	terms of reference
WBCSD	World Business Council for Sustainable Development

## Summary

### Background

Following some years of contact (notably through the Cement Sustainability Initiative of the World Business Council for Sustainable Development), IUCN and Holcim signed a three year partnership agreement that took effect on 1 January, 2007. They later extended the agreement to 31 December, 2010. It provides for an external assessment to be undertaken before it expires, “which shall form the basis for defining the need, nature and scope of a possible follow-up agreement”. An independent consultant undertook the review on the basis of observation of partnership meetings, review of documentation, interviews with key partnership participants and a questionnaire survey distributed to a broader group of informants. The review terms of reference were converted into a matrix that structured the questions into the standard evaluation framework of relevance, effectiveness and efficiency. This framework serves as a guide for the review report.

### The strategic objectives of the partnership are:

- to enhance the Holcim Group’s biodiversity policy and strategy;
- to explore, identify and develop mutually interesting and beneficial joint initiatives, especially those supporting sustainable livelihoods and biodiversity conservation;
- to share the learning generated by the partnership with the wider industry and conservation communities.

### Partnership activities

Most of the partnership’s effort and activity has been concentrated on **the first of these objectives**. Work has focused on the biodiversity impacts of Holcim’s quarry operations, although the resultant systems and learning are also relevant to other aspects of the group’s activities and impact. Holcim produced a baseline statement and inventory of its biodiversity strategies and impacts around the world. IUCN appointed a five member Independent Expert Panel to develop recommendations to Holcim on a biodiversity conservation policy and supporting tools. From April 2008 to date, the Panel has worked with Holcim (notably through visits to seven of its operating companies around the world) to develop a Biodiversity Management System, which it is currently finalising. Built around the concept of a quarry life cycle from opportunity through operation to closure and rehabilitation, the BMS operates through a three level biodiversity policy framework and helps to structure such processes as risk assessment and biodiversity action planning. Holcim will develop detailed guidelines and procedures on the basis of the Panel’s input.

Overlapping with the Panel’s field visits have been a number of local or country level partnerships between IUCN and Holcim that have contributed in various ways to **the second strategic objective**. There have been a variety of joint activities with the IUCN Secretariat and/or Members in some ten countries, with differing degrees of contact in about a dozen others. Another contribution to the second objective was the 18 month secondment of a Holcim staff member to the IUCN Species Programme. During the secondment, she worked on an IUCN business case for the Red List and a related communications plan, while also generating Holcim’s initial biodiversity baseline report and inventory. In another sector, the partners worked towards the second objective through collaboration on procedures and guidelines for biodiversity-based

microenterprise development – which can help to realise Holcim’s commitment to sustainable livelihoods in communities affected or (formerly) employed by its operations. The development of biodiversity business is a priority in IUCN’s current quadrennial programme.

There has been least activity with regard to **the third objective**, largely because Holcim wanted to consolidate its own enhanced systems before sharing them in any detail. However, the group has remained active in the Cement Sustainability Initiative and broader WBCSD activities. IUCN has brokered a number of informal discussions between Holcim and other cement companies.

### **Achievement of partnership objectives**

The IUCN-Holcim partnership was, and remains, **strongly relevant** for both parties. It has helped IUCN to develop real understanding and influence in an environmentally important global industry through collaboration with one of its key players. It has helped Holcim to come closer to its target of environmentally sustainable operations. **The justification for the partnership thus remains valid.** Operationally, the partners must ensure that the policy and procedures that they have developed now take practical effect through the group’s activities around the world. Technically, it remains relevant for both parties to link enhanced biodiversity strategy and procedures into the broader framework of sustainable development through, for example, assuring ecosystem integrity and combating climate change.

**The first of the partnership’s strategic objectives – enhancement of the Holcim Group’s biodiversity policy and strategy - has been achieved.** A biodiversity baseline of the Holcim Group’s operations is in place and will now be updated regularly. Holcim’s approach to biodiversity conservation management has been reviewed and assessed. In developing the BMS, the partners have achieved a more comprehensive biodiversity policy and strategy for the Holcim Group. The next step will be to apply the policy and strategy. The BMS must be converted into detailed company guidelines and procedures without diluting or diverting its principles and intended outcomes. Holcim must integrate its enhanced biodiversity understanding, policy and approaches into a more effective commitment to sustainable development in its operations around the world.

**The second strategic objective has been partially achieved.** Complete fulfilment of this objective would have been difficult because it was broadly framed and based on an imperfect understanding of the optimal themes and means for collaboration. Some, but not all, of the country-level partnerships have achieved positive conservation outcomes and enhanced the partners’ and others’ understanding of ways to make the cement industry environmentally sustainable. Work on biodiversity-based microenterprise development produced valuable joint learning and a useful document that is being applied in some country-level collaboration; but there is no integrated follow up. The Holcim secondment to IUCN generated some useful products for the Species Programme, but its biggest result was the baseline biodiversity inventory of Holcim quarries.

**There has only been limited progress towards the third strategic objective.** Partly because of the preliminary status of the learning and approaches that the partnership has generated, there has not yet been a structured effort to share them with the wider industry and conservation communities.

## Organisation, management and governance

**Several organisational aspects of the partnership have served it adequately or well so far, but will be less appropriate in future.** Partly because of the emphasis on the first of the three strategic objectives, **the partnership has not been symmetrical.** It has sometimes seemed more like advisory service provision by IUCN to Holcim. A related early concern was that Holcim should understand and respect the independence of the Panel. This was achieved. Misunderstandings and sub optimal performance have characterised some local and country-level agreements between the partners. The problems have been caused, *inter alia*, by perceptions (sometimes by both sides) of IUCN as simply a contracted service provider; by tensions between the IUCN Secretariat and local Members; and by inadequate communication from both headquarters about the intended character of the partnership.

Greater symmetry can be anticipated if the partners now work together to engage with the cement industry as a whole, and if IUCN's Business and Biodiversity Programme is able to capitalise on the largely successful engagement with Holcim to learn and apply broader lessons about influencing businesses' biodiversity and sustainability strategies.

Stronger symmetry will also depend on **enhanced engagement by IUCN.** To date, relatively few Secretariat staff (other than the Relationship Manager) have had much substantive involvement at headquarters. Funding models and workloads seem to inhibit deeper and more consistent engagement by the Secretariat. The main input has come from the Panel, whose work (although it took longer to start and finish than anticipated) has been greatly appreciated by both partners. There has been more engagement by some Secretariat personnel at regional and country offices, but greater clarity and consistency are needed in determining the respective roles of the Secretariat and Members in working with private sector partners at those levels. At all levels, there is also the question of whether a more structured effort should be made to engage Commissions in partnerships of this nature.

Fundamental questions thus arise about **what IUCN should contribute to such a partnership, and how.** Should substantive technical input be expected from the Secretariat, or should it come mainly from Commissions and Members? In this partnership, it has so far come mainly from the Panel, which was convened by the Secretariat. Co-ordination, facilitation and advocacy are meant to be primary functions of the Secretariat. Expectations about what technical inputs it and other parts of IUCN can and should make will have to be clarified in the future of this partnership.

IUCN's experience suggests that **secondments** between the Secretariat and private sector partners can be fruitful. In this partnership, due largely to funding constraints, there was regrettably no secondment from IUCN to Holcim. Some in IUCN feel that the work done through the Holcim-IUCN secondment focused too much on Holcim objectives; but the Secretariat did not structure and manage the position rigorously enough to maximise benefits for IUCN.

**The Relationship Manager model has served this partnership well.** Its success depends in large part on the personalities in question. Each has specific challenges. Long company experience and strong managerial competence have enabled the Holcim RM to drive the changes arising from the partnership some way through the organisation – although there is a long way to go. The IUCN RM has faced different challenges in the less structured, more loosely managed environment of the Secretariat, where the organisational and funding model make it difficult to co-ordinate technical input to partnership activities. The perceived strong performance of IUCN in many aspects of this partnership has depended heavily on her own efforts.

**The Panel created new management issues for both sides.** For a number of reasons not connected with the quality of its performance or commitment, it fell behind its original schedule. This was not a major

constraint. Satisfaction with the Panel's outputs has eclipsed any concern about the timetable. However, Holcim had to adjust its normal scheduling expectations and understand the different *modus operandi* of such an independent professional team. Nor could the IUCN RM demand that this independent and esteemed body comply with schedules.

A more fundamental management challenge in such a partnership – particularly when IUCN's partner is such a well-focused and target-driven company as Holcim – is **to reconcile the working mind sets of such fundamentally different organisations**. IUCN, and the Panel, have sometimes been taken aback by the pace at which Holcim takes decisions and moves ahead. Holcim has had to understand why its partners in such organisations seem to need longer at various stages in a process.

Participants on both sides report that **the Steering Committee has been an effective governance mechanism for the partnership**. Its membership reflects the provisions of the partnership agreement, although restructuring within IUCN means that its Director, Global Programme post has been merged with that of Deputy Director General – technically, a more senior position than those of any of the Holcim representatives. This should be welcomed by the partnership as strengthening its Steering Committee, although it poses structural questions for IUCN about how many such bodies its DDG should be expected to sit on. For reasons of personality as much as structure, the Steering Committee has served the partnership well, after an initial learning curve as the organisations got to know each other. But there are always limits to what any such oversight body can do. What matters more is the effectiveness of each organisation's management and the ability of middle managers (in this case, the RMs) to get the attention and support of their senior management. This condition is more clearly met in Holcim than in IUCN – not because of any reluctance about the partnership in IUCN, but because the Secretariat management's time and resources are more thinly spread and the lines of communication are more diffuse.

### **The value of the partnership**

Despite some deviations and shortcomings, **the IUCN-Holcim partnership has performed well for both parties**. Most senior management on both sides express strong satisfaction with it. The value derived from the partnership is more apparent for Holcim, which is poised to apply a Biodiversity Management System developed with world class expertise in thoughtful collaboration with the company. IUCN has not capitalised on the partnership so directly, but has nevertheless found it less contentious and more directly fruitful than some of its other private sector linkages. This partnership has strengthened IUCN's confidence that such links with the private sector can help it to pursue its mission effectively. Both partners are keen to nurture and develop the relationship through a second phase.

### **Continuation of the partnership**

**Continuation of the partnership is thus clearly desirable**. Although the partnership agreement envisaged that this review would be the basis for a decision about a possible follow-up, the Steering Committee actually took that decision in principle at its March 2010 meeting. Areas of joint work in the second phase have been identified and are to be discussed in more detail at the November 2010 meeting where this report will be presented. This review's **recommendations about the content and character of the next phase** are included in the list below.

## Recommendations

### 1 (section 3.1.2, page 10)

At global, regional and country levels, the partners should make a more systematic and co-ordinated effort in the next phase to develop, apply and learn from strategies to build **sustainable livelihoods** through the conservation and sustainable use of biodiversity. This effort should comprise further analytical work, training events, joint community level programmes and dissemination of lessons learned.

### 2 (section 3.1.2, page 11)

As part of this better co-ordinated effort, Holcim and IUCN should structure and deliver joint inputs to international efforts to enhance understanding and action on the **economics of biodiversity**, building on the work of the initiative on The Economics of Ecosystems and Biodiversity (TEEB). The aim should be to achieve and showcase positive experience in building biodiversity conservation into profitable business practice and sustainable small-scale employment generation.

### 3 (section 3.1.2, page 12)

The next phase of the partnership should provide for **secondments** in both directions between IUCN and Holcim. Job descriptions for these secondments should be defined and managed to ensure that those transferred work mainly within the structure and programmes of the host organisation, beginning with a full orientation process and continuing with direct contributions to host organisation objectives within the framework of the partnership. Those seconded should report at least annually to the Steering Committee on lessons and recommendations about the partnership's achievements and constraints.

### 4 (section 3.1.3, page 13)

In the next phase of the partnership, much greater emphasis should be placed on the **third of the current strategic objectives**. The next phase should develop and implement a joint strategy by IUCN and Holcim for engaging with the Cement Sustainability Initiative and the broader building materials sector. Country-level partnerships should include elements for the sharing of experience and the promotion of higher environmental standards across the national building materials sector.

### 5 (section 3.2, page 15)

A three person **Independent Expert Panel**, working under the present Chair, should be retained in the second phase of the partnership to continue advisory support to Holcim's development of detailed BMS systems and procedures; to support the development of the necessary training materials; to monitor, advise and consolidate lessons from the application of the BMS by operating companies; to support the integration of the BMS with the company's other environmental policies and systems; and to support the partners' engagement with the cement sector at global and national levels.

### 6 (section 3.3, page 16)

Planning for the second phase of the partnership should specify sets of quantitative and qualitative **indicators** against which the performance of that phase will be monitored and reported. It should also assign responsibility for monitoring these indicators and reporting against them to the Steering

Committee twice a year. As part of its oversight responsibility, the Steering Committee should ensure that this systematic monitoring and reporting take place.

**7** (section 3.3, page 18)

For the next phase of the partnership, IUCN should develop a clear operational model and accompanying guidelines to explain how it will collaborate with Holcim. The guidelines should explain:

- the role of a revised Independent Expert Panel (see recommendation 5);
- the role of the Secretariat in convening, brokering and facilitating other technical support to and operational collaboration with Holcim at global, regional, national and site levels from IUCN Commissions, IUCN Members, the Secretariat itself and other sources – and the conditions in which each mode of engagement may be appropriate and valuable;
- the implications and benefits for a Holcim operating company of engaging with IUCN in one or more of these ways (see section 4.6).

**8** (section 4.1, page 20)

In the next phase of the partnership there should be more systematic use of **work plans and schedules** to specify outputs and track their delivery.

**9** (section 4.6.2, page 28)

Within the framework of the operational model and guidelines proposed in recommendation 7, the second phase of the partnership should make explicit provision for the roll out of the BMS, and other mutually beneficial activities, in collaboration between IUCN and Holcim at **regional and country levels**. Special attention should be given to a co-ordinated effort in three countries of South and/or East Asia, where the IUCN regional and national offices should work to build understanding and commitment with regard to the purpose, mode and outputs of such collaboration.

**10** (section 5.1, page 31)

**The partnership should become more symmetrical.** IUCN should not simply be brokering technical support to achieve change in Holcim. The partners should be working together to achieve change across the sector. Holcim should be helping IUCN to develop and deliver generic lessons about how to achieve conservation-focused change across a global business. Revision of the partnership's first strategic objective should reflect these recommendations.

**11** (section 5.3, page 33)

**The IUCN-Holcim partnership should be renewed for a second phase.** Three years should be considered a minimum duration for this phase. Five years would be a more appropriate to develop and exploit the full potential value of further collaboration.

**12** (section 5.4, page 34)

The leading, but not sole, content of the second phase should be a joint effort to **put the Biodiversity Management System into operation** at selected Holcim sites around the world. Work

should also be done to develop the linkages between the BMS and broader management of impact on ecosystems, and to ensure that the BMS is used, as applicable, at all types of Holcim site.

**13** (section 5.4, page 34)

The partners should **revise and clarify their second current strategic objective**. Recommended content includes:

- transfer of Holcim experience in the field of alternative fuels to the relevant thematic programme in IUCN;
- continuing active Holcim engagement in IUCN's work on the economics of biodiversity;
- substantive collaboration on the application of biodiversity-based microenterprise development.

## 1. Introduction

### 1.1. Background

IUCN spent the early part of this decade strengthening its interface with the private sector. The Business and Biodiversity Initiative of 2001 evolved into a Business Unit, which became the Business and Biodiversity Programme (BBP) in 2003. In 2004 the IUCN Council approved a private sector strategy which remains in force. One of the three goals of that strategy is “effective dialogue and collaboration between IUCN and the private sector which helps to achieve conservation through, and alongside, sustainable development” (IUCN, 2004: 8). In pursuit of that goal, IUCN has developed a number of dialogues and partnerships with private sector organisations and individual companies. As the strategy requires, it has been selective in its choice of partnerships, including a focus on links with strong leverage and impact on conservation and social equity.

In the second half of the decade, the IUCN BBP has expanded its operations on several levels. The approach has included work with representative and consultative bodies (notably the World Business Council for Sustainable Development (WBCSD) and the International Council on Mining and Metals) and a number of collaborative partnerships with individual businesses. The latter have included Shell, Holcim and, most recently, Rio Tinto.

The Holcim Group and its predecessors have been making cement since the launch of the original company in Switzerland in 1912. Operating under the current name since 2001, the Swiss registered Holcim Ltd. now has a majority holding in almost all the companies in the group, distributed across some 70 countries. In addition to making cement, the production of aggregates such as crushed stone, gravel and sand is an important part of the group’s global profile.

Holcim states that its “key objective is the creation of value. We attach great importance to sustainable development at an economic, ecological and social level. By taking this holistic approach, we can secure the company’s long-term success” (Holcim, 2010a). The company thus takes an integral approach to environmental sustainability as necessary for the optimal performance of the business. Cement and aggregate production certainly has significant environmental impacts at quarries and processing plants. The energy intensive nature of cement production makes it important for the industry to consider its impact on climate change. Socio-economic impacts are important too. High transport costs make this a localised industry operating at multiple sites, in multiple interactions with local communities – even though it is not a labour intensive employer.

Holcim has steadily developed its understanding and procedures with regard to assessing and mitigating its environmental impacts. Quarry rehabilitation is a longstanding commitment, built on the understanding that planned quarry development must always start with a vision of the closing stages and the longer term. From 2003 to 2008, the company worked in partnership with GTZ to develop integrated waste management approaches in developing countries, linked to the co-processing of waste as alternative fuels and raw materials in cement production. Meanwhile, it was increasingly aware of the need to enhance its understanding and actions with regard to biodiversity and the impacts of cement production on this key environmental parameter.

Following some years of contact between Holcim and IUCN in the context of the WBCSD’s Cement Sustainability Initiative (CSI), substantive discussions about a closer and more structured partnership began at a meeting between the Chief Executive Officer of Holcim and the Director General of IUCN at Davos in January 2006. Key factors in the rationale for the partnership were Holcim’s concern to understand and address its impacts on biodiversity (as well as those of the cement industry overall), and IUCN’s interest in

developing a limited number of partnerships with representative key players in various sectors of primary environmental importance. Detailed negotiations and preparation of the partnership took place later that year, and the agreement was signed on 19 February 2007, with a planned duration to 31 December 2009. In November 2008, the partnership Steering Committee (SC) agreed a no cost extension to 31 December 2010.

In related developments, Holcim provided substantial technical, financial and in-kind support for the construction of IUCN's new Conservation Centre building at Gland, which was opened on 4 June 2010. (Holcim CO<sub>2</sub>-reduced cement was used throughout the building.) These inputs, reflected in the naming of the conference facility at the top of the building 'the Holcim Think Tank', helped the building to be the first in Europe to meet the platinum standard defined by the United States Green Building Council's Leadership in Energy and Environmental Design (LEED) system.

## **1.2. Objectives and scope of the partnership**

The partnership agreement states as its overall **purpose**:

*to enable the Parties to build a lasting relationship to develop robust ecosystem conservation standards for the Holcim Group, contributing to sector-wide improvements in the cement and related sectors.*

The partnership has three **strategic objectives**:

- a) Review and assess the approach of the Holcim Group to biodiversity conservation management, establish a baseline, and develop a more comprehensive corporate biodiversity policy and strategy for the Holcim Group.
- b) Explore, identify and develop joint initiatives of mutual interest and benefits, particularly those supporting sustainable livelihoods and biodiversity conservation.
- c) Promote good practice by sharing the learning with the wider industry and conservation communities.

Two work streams are identified by the partnership agreement, roughly corresponding to the first two objectives. The first concerns "the approach to biodiversity conservation management of the Holcim Group" and the second "joint sustainable livelihood initiatives". They thus span natural environmental and socio-economic issues. Due perhaps to a Holcim emphasis on first developing approaches and learning lessons, there is no specific reference to ways in which the third objective of "sharing learning" would be pursued.

The partnership agreement has global scope: first because it concerns collaboration between two global organisations, and secondly because of its objective of sharing what it learns with the cement industry and conservation communities as a whole. However, it also makes specific reference to local collaboration between "their respective field operations and offices", working on projects consistent with its overall purpose and objectives.

## **1.3. Activities to date**

This outline of the partnership's activities to date is keyed to the three strategic objectives outlined above. Activities were not all specifically designed to tackle one or more of these objectives. Some therefore do not fit neatly or exclusively under one or the other, and there is some overlap.

Most of the partnership's effort and activity has been concentrated on **the first of these objectives**. Work has focused on the biodiversity impacts of Holcim's quarry operations, although the resultant systems and learning are also relevant to other aspects of the group's activities and impact. For example, an early task was for Holcim to produce a baseline statement and inventory of its biodiversity strategies and impacts around the world. Not only was this a logical way to start determining how to enhance strategies and reduce impacts, but it also turned out to be the group's first spatial database of all its operations, of which no consolidated list had previously existed. The baseline report, covering 323 quarries, was produced in May 2008 (Holcim, 2008). An updated 2009 Biodiversity Review, covering 547 mining concessions (for both cement and aggregate production) has since been produced (Holcim, 2010b).

At the heart of the partnership, and of work towards the first objective, has been the five member Independent Expert Panel. IUCN appointed this Panel to develop recommendations to Holcim on a biodiversity conservation policy and supporting tools. It took longer than expected to finalise Panel membership; effective operations began with the first meeting in April, 2008. From then onwards, the Panel worked with Holcim (notably through visits to seven of its operating companies in Spain, Indonesia, Belgium, Hungary, the United States, the United Kingdom and China) to develop a Biodiversity Management System (BMS), which it is currently finalising. Built around the concept of a quarry life cycle from opportunity through operation to closure and rehabilitation, the BMS operates through a three level biodiversity policy framework. At the highest level it forms part of Holcim's overall environmental policy. At the second level, directives and recommendations are provided with regard to the planning cycle and the operational cycle respectively. The third level comprises the detailed tools and procedures required for applying the system, mainly set out in the Holcim Ecosystems Assessment Handbook and Ecosystems Management Handbook. The BMS helps to structure such processes as risk assessment and biodiversity action planning. Holcim will develop detailed guidelines and procedures on the basis of the Panel's input.

Overlapping with the Panel's field visits have been a number of local or country level partnerships between IUCN and Holcim that have contributed in various ways to **the second strategic objective**. There have been a variety of joint activities with the IUCN Secretariat and/or Members in some ten countries, with differing degrees of contact in about a dozen others. Work in Spain, for example, involved comprehensive documentation of a quarry restoration process and the lessons learned (Holcim, 2009a). Multiple interactions in Sri Lanka have included quarry rehabilitation and joint efforts to slow damage to coral reefs and help rebuild them. In Vietnam, the partners have worked on biodiversity offsets for the company's exploitation of karst areas, and efforts to influence the cement sector in the country overall.

Another contribution to the second objective was the 18 month secondment of a Holcim staff member to the IUCN Species Programme (September 2007 – April 2009). During the secondment, she worked on an IUCN business case for the Red List and a related communications plan, while also generating Holcim's initial biodiversity baseline report and inventory. She also undertook an assessment of the Integrated Biodiversity Assessment Tool (IBAT) and helped to familiarise Holcim with it.

In another sector, the partners worked towards the second objective through collaboration on procedures and guidelines for biodiversity-based microenterprise development – which can help to realise Holcim's commitment to sustainable livelihoods in communities affected or (formerly) employed by its operations. The development of biodiversity business is a priority in IUCN's current quadrennial programme. There has been some piloting of the approach in Central America, and Holcim plans further training on it for all its Latin American corporate social responsibility (CSR) focal points in November 2010.

There has been least activity with regard to **the third objective**, largely because Holcim wanted to consolidate its own enhanced systems before sharing them in any detail. However, the group has remained active in the Cement Sustainability Initiative and broader WBCSD activities. As noted above, work has been

done in Vietnam to advocate better environmental performance across the cement sector as a whole. IUCN has brokered a number of informal discussions between Holcim and other cement companies. Both parties remain active in the WBCSD and its CSI.

#### **1.4. Terms of reference**

The IUCN-Holcim partnership agreement stated that

*At the end of the third year and prior to the Expiration Date, an external assessment of this Agreement shall be undertaken, which shall form the basis for defining the need, nature and scope of a possible follow-up agreement.*

IUCN and Holcim, 2007a: 6.

As noted in section 1.1, this first phase of co-operation was extended from three years to four. The review was commissioned half way through the fourth year, when the Steering Committee had already (on 2 March 2010) decided in principle to continue the partnership for a further three years.

The terms of reference (TOR) for the review (Annex 1) stated its objectives as follows:

1. To assess the extent to which the justification for the partnership is still valid;
2. To assess the extent to which the organizational arrangements, management and governance of the partnership was effective and still appropriate and provides a model for the next phase of the partnership;
3. To assess the extent to which the objectives of the Agreement have been fulfilled;
4. To assess the value of the partnership to IUCN and Holcim;
5. To make a clear main recommendation on the continuation and format of the partnership; and additional recommendations on the objectives above.

As can be seen at Annex 1, the TOR included a set of more detailed questions for consideration in the review, covering the justification for the partnership; the organisational arrangements, management and governance of the partnership; the Expert Panel; the objectives of the partnership and their achievement; and the value of the partnership. In addition, they showed a table of proposed relationship indicators that had been drawn up by the Relationship Managers (RMs) in 2007-08.

#### **1.5. Methods and timing**

A work plan was submitted to IUCN and Holcim on 31 May 2010. This took into account the various scheduling challenges that were anticipated, linked to planned partnership meetings and to the reviewer's other commitments. As a concentrated series of meetings between IUCN, Holcim and the Panel were planned between 28 June and 2 July, special arrangements were made for the reviewer to be present during that week (to 1 July), although it had not yet been possible to review the documentation or finalise the review methodology. Many useful interviews were possible that week. Further interviews and document review were undertaken over the following two months with the intention of submitting a draft report in time for the planned Steering Committee on 9 September. It was later decided to defer that meeting to 25 November, partly because it was felt that members of the Steering Committee would not have had time to review the report adequately by 9 September. Although this gave more time for preparation of the review report, a summary of the report was requested in early September, so that it

could be included in documentation that the partners were preparing for the Conference of the Parties (COP) of the Convention on Biological Diversity (CBD) to be held at Nagoya, Japan, 18-29 October. The summary (final version dated 13 September) was also presented to a meeting of the Holcim Sustainable Development Steering Committee. This exercise has therefore followed a somewhat unusual sequence of preparing and presenting a summary before the report was written.

An inception report was submitted to IUCN and Holcim on 23 July 2010, setting out the proposed methodology. The review is based on study of documentation (mostly provided by Holcim and IUCN); on interviews with key informants (some, but not all of whom were identified by the partners – see Annex 3) and a questionnaire survey that was distributed to a broader list of people involved in or to some extent knowledgeable about the partnership. Slightly different versions of the questionnaire were used for respondents associated with IUCN (Annex 4) and with Holcim (Annex 5). Interviews and questionnaires were confidential. The online questionnaires were set up to be anonymous, so that the reviewer could not attribute answers to a specific person. A total of 28 out of 47 recipients of the questionnaire invitation responded (60%), comprising 15 out of 17 on the Holcim list (88%) and 13 out of 30 on the IUCN list (43%).

As is often done for evaluations and reviews of this nature, the issues to be addressed were set out in a review matrix (Annex 2). This matrix elaborates and structures the questions posed in the TOR and implied in the relationship indicators under the standard evaluation headings of relevance, effectiveness and efficiency, concluding with the key issue of whether the partnership should be renewed. The matrix also suggests the ways in which each question and sub-question under these headings can be answered. It guides the structure and content of the discussion in chapters 2 - 5 below.

Following investigation of various generic methods and tools for the assessment of partnerships, the inception report recommended use of a tool developed by the Strategic Partnering Taskforce of the United Kingdom government. This includes a set of 'agree/disagree' statements for each of these six principles and elements affecting the performance of partnerships. These could have been incorporated into, or actually constitute, a questionnaire for use in the current exercise. However, this would be too simplistic an approach. Instead, interview protocols and the online questionnaires covered these six points but went into greater detail on the specifics of what the IUCN-Holcim partnership is supposed to achieve. This report does, however, include a summary, subjective assessment of the partnership on the basis of the UK government tool (section 5.2). This was also done for a recent review of the IUCN - Shell partnership. Users of this review may find it interesting to compare the summary assessments of the two partnerships.

Although the partnership agreement envisaged that this review would be the basis for a decision about a possible follow-up, the Steering Committee actually took that decision in principle at its March 2010 meeting (section 1.4). Areas of joint work in the second phase have been identified and are to be discussed in more detail at the November 2010 meeting where this report will be presented. Although the decision about the need for a follow-up agreement has thus already been taken, this review can still contribute ideas on its nature and scope. The recommendations made therefore assume that the IUCN-Holcim partnership will enter a second phase, and focus on the best content and strategies for this next period of collaboration.

## 2. Relevance

### 2.1. The rationale for the partnership

As Figure 1 and Figure 2 show, there is agreement in both Holcim and IUCN that the rationale for their partnership remains relevant (the full wording of these questionnaire questions can be seen at Annexes 4 and 5). From the **IUCN** perspective, the **strategic relevance** of working with Holcim links back to the overall strategy of its Business and Biodiversity Programme, within which partnerships with selected businesses are now a key element (section 1.1). This overall strategy has its critics within IUCN, as was made abundantly clear at the 2008 World Conservation Congress (attended by Holcim) with regard to the Union’s partnership with Shell. The cement industry has a lower environmental profile than the energy sector, although in fact it has major impacts on ecosystems, biodiversity and the atmosphere. There are consequently fewer IUCN Members or staff who question the relevance of a partnership with Holcim as a way of building a more environmentally sustainable cement sector, or of enhancing the environmental performance of the private sector as a whole.

For **Holcim**, the **strategic relevance** of the partnership links to its commitment to the principles of “the triple bottom line (value creation, sustainable environmental performance and social responsibility)”. The company views sustainable development as a vital ingredient of its business strategy, “because we believe it contributes in adding value and ensuring continued success” (Holcim, 2010c: 6). Partnership with IUCN is thus a self-evident part of strategy to build sustained value for all the company’s stakeholders, taking into account Holcim’s other environmental strategies, its roles and experience in the WBCSD and CSI, and the partnerships that some of its competitors have developed with other conservation

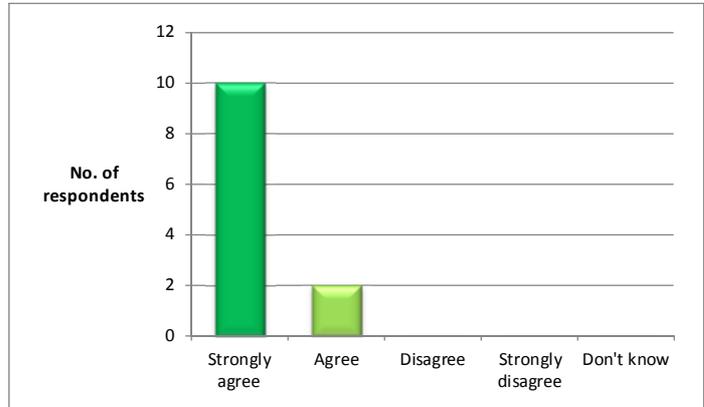


Figure 1. IUCN respondents: 'rationale for partnership still relevant for IUCN'

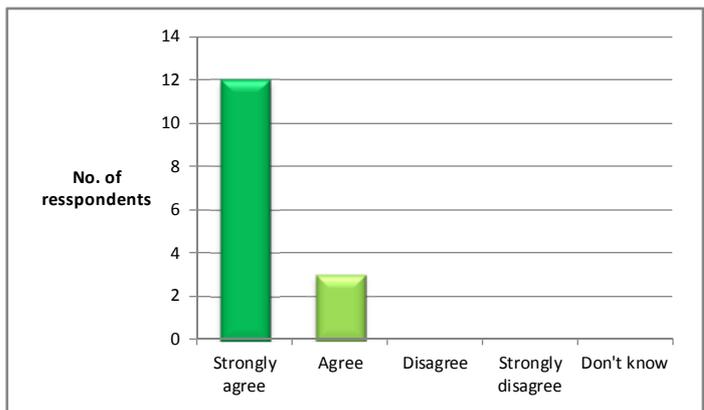


Figure 2. Holcim respondents: 'rationale for partnership still relevant for Holcim'

*We recognise that biodiversity supports essential ecological functions and human wellbeing. It helps to maintain ecosystem services, secure food supplies, provide opportunities for recreation and tourism, and safeguard sources of wood, medicines and energy... The work we are undertaking in partnership with the IUCN has confirmed that biodiversity needs to be considered throughout the complete lifecycle of our operations from site opening to closure.*

Holcim, 2010c: 18.

organisations (such as the ones between Lafarge and the Worldwide Fund for Nature and between Cemex and Conservation International).

For **both organisations**, the **thematic relevance** of this partnership must be seen in the broader context of IUCN’s mission and Holcim’s environmental impacts and strategies. The partners have chosen to focus on tackling Holcim’s impacts on biodiversity, and to learn and apply broader lessons from this experience. Conserving biodiversity is only one dimension of IUCN’s mission, although it is obviously key to the conservation of the integrity and diversity of nature to which its mission statement refers. Given that the quarries and production plants of cement companies like Holcim may also have major impacts on ecosystem functioning and services, and generate significant atmospheric pollution, it could be argued that the overall thematic relevance of the partnership is diminished by its focus on biodiversity conservation.

*[Holcim] operational people understand the utilitarian view of ecosystem services. The Panel pulled them back a bit to biodiversity. Biodiversity also means variety of habitats. The biodiversity concept helps link environmental and social aspects, especially in developing countries.*

*Holcim must understand and address the biodiversity impacts of its extractive operations. The partnership with IUCN contributes to this understanding and is providing us with the necessary tools to manage our impact.*

*The agreement with Holcim was supposed to generate standards for biodiversity conservation in a particular sector. Through the work carried out with Holcim, IUCN can now engage with other companies in the same sector with some tested (in the field as well as in a company) practices that will help improve the way biodiversity is considered throughout the life cycle of quarry operations.*

Questionnaire respondents.

However, conserving biodiversity is a central necessity in any broader environmental strategy, and from some perspectives the best place to start. Broader conservation of ecosystem integrity and services is not possible if biodiversity is declining due to the industry’s impacts. Furthermore, Holcim has been developing a series of environmental conservation and rehabilitation strategies before and during the partnership with IUCN. Biodiversity was seen as a gap in this effort, and harder for many in the company to conceptualise and act upon than ecosystem services. Both organisations see the partnership as helping to fill this gap, while emphasising that biodiversity is a fundamental condition for healthy ecosystems and the services that they deliver. Indeed, the BMS that they have developed includes reference to ecosystem services and to the role of biodiversity in assuring them (IUCN and Holcim, 2010a: 4-5).

## 2.2. The value of the Expert Panel

The five-man Independent Expert Panel has been central to the activities and achievements of the IUCN-Holcim partnership so far. It had a difficult start after the partners concluded that the initial appointment as Panel chair was inappropriate. IUCN then appointed Dr Christoph Imboden, under whom the Panel began work in April 2008. As will be explained below (section 3.2), this was not the only factor in the delays that arose in Panel delivery compared with the original schedule. However, there is now little concern in either organisation about these delays, and strong affirmation that the Panel has been extremely valuable in achieving the partnership’s

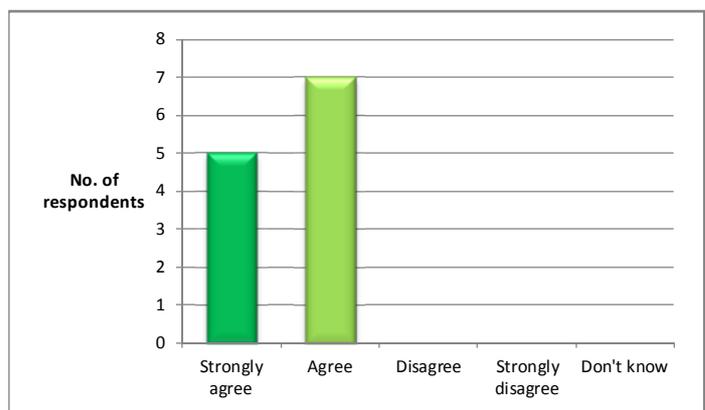
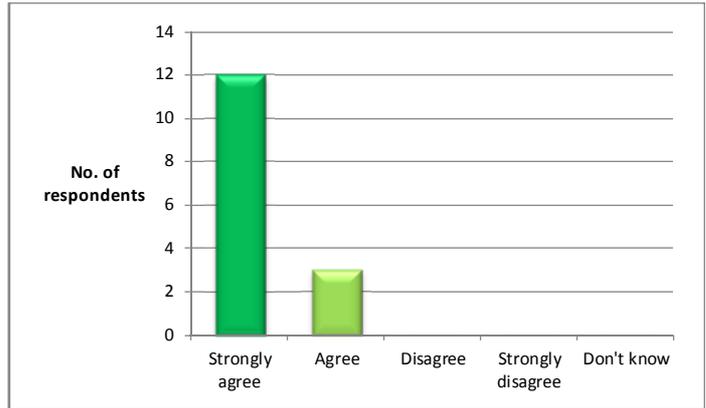


Figure 3. IUCN respondents: 'the Expert Panel is valued by IUCN'

objectives. As Figure 3 and Figure 4 show, both IUCN and Holcim questionnaire respondents confirmed how highly the partners value it. (Again, the full wording of the questions can be seen at Annexes 4 and 5.)

Appointment of this Panel has clearly proved to be a relevant strategy for this partnership, and has underscored the relevance of the strategy for IUCN’s private sector partnerships in general. Several such panels have been appointed in recent years, including the Western Gray Whale Advisory Panel (IUCN, Shell and Sakhalin Energy) and the Yemen Liquefied Natural Gas Independent Review Panel (IUCN, Yemen LNG and Total) (IUCN, nd).



**Figure 4. Holcim respondents: 'the Expert Panel is valued by Holcim'**

*The model in the Holcim relationship of convening a panel to develop a biodiversity approach for the company is valuable for rest of engagement with private sector.*

*The Expert Panel was and is the key tool for the partnership, and is a success thanks to the background and personality of the Chair.*

*The panel has given Holcim both credibility and direction in the field of biodiversity and provided practical help to group companies to get started.*

*Most value of the relationship is through the Panel, rather than IUCN staff/expert input itself!*

*Success of Phase 1 of the IUCN-Holcim partnership to a large extent based on the extremely professional work and excellent expert advice received from the IEP members resulting in a BMS proposal which is both insightful as well as practically implementable.*

*As for the Panel, it has been key in terms of the partnership's success, as its members have proven their professionalism, so its recommendations have been taken seriously by Holcim. This was a real risk at the outset of the relationship, as it wasn't clear [how] the outcome of the panel would be taken by Holcim.*

Questionnaire respondents.

### 3. Effectiveness

#### 3.1. Fulfilment of partnership objectives

##### 3.1.1. Develop biodiversity policy and strategy for the Holcim Group

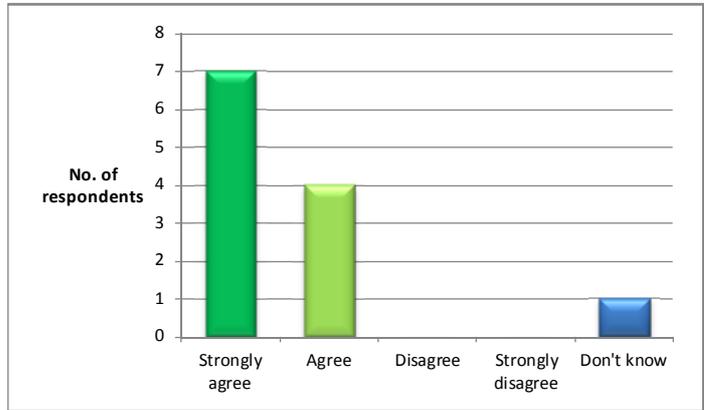
The first of the partnership’s strategic objectives is to

*review and assess the approach of the Holcim Group to biodiversity conservation management, establish a baseline, and develop a more comprehensive corporate biodiversity policy and strategy for the Holcim Group.*

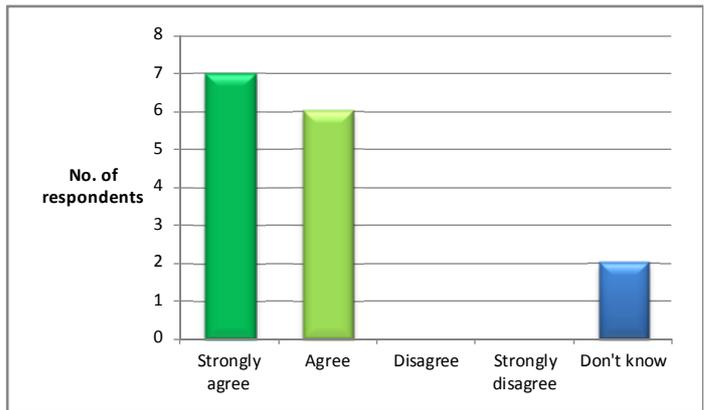
Through the work of the Independent Expert Panel, **this objective has been achieved.** The BMS offers a comprehensive biodiversity policy and strategy for Holcim and indicates how they can be operationalised and dovetailed with existing systems and procedures. Through this experience, participants in Holcim have deepened their understanding of biodiversity and how to conserve it in the context of company operations.

IUCN and Holcim plan a public presentation on the BMS at the CBD COP in October 2010. Holcim’s Sustainable Development staff hope to launch it operationally within the Group by the end of the year. While developing policy and strategy is a necessary step in the right direction, what really matters is the application of policy and the implementation of strategy. This lies largely in the future. The company is currently engaged in the interim step: to ‘Holcimise’ the BMS that the Panel has proposed, converting it into the detailed guidelines and procedures that operating companies can then apply. This is the third level of the policy framework outlined in section 1.3 above. It remains to be seen how accurately this process will translate the Panel’s principles and recommendations into operating companies’ practice. This will be a subject for further monitoring and review by the partners and, potentially, the Panel. As agreed in the 30 June – 1 July 2010 meeting between the Panel and the company,

*Holcim and the Panel to continue the good collaborative relationship throughout the translation process to ensure real tools for [Holcim operating companies] are produced and avoid oversimplification of the advice.*



**Figure 5. IUCN respondents: ‘IUCN successfully helped develop Holcim’s biodiversity strategy and policy’**



**Figure 6. Holcim respondents: ‘IUCN successfully helped develop Holcim’s biodiversity strategy and policy’**

Holcim, 2010d: 1.

Part of the BMS is an enhanced biodiversity risk assessment procedure keyed to a hierarchy of actions that depends on the severity of the assessed risk. Using the enhanced site inventory developed during the partnership and expanded datasets from revised plant environmental profile (PEP) procedures, Holcim is already producing group-wide tables of biodiversity risk. Alongside the regional, global and national biodiversity risk matrices, it presents a ‘snapshot’ map of sites generated with the Integrated Biodiversity Assessment Tool. The company is reflecting these enhancements in its annual Operational Roadmap for the Holcim Group, which now requires that at least 80% of sites assessed at the critical biodiversity risk level should have Biodiversity Action Plans (BAPs, another procedure outlined in the BMS) in place by 2013 (Holcim, 2010c: 5).

*Clear guidance on where we need to head as a company. The proposed BMS makes sense and will add value.*

*The Panel has assisted Holcim with the development of strategy and policy, not IUCN. However, IUCN was the convener that facilitated the process.*

Holcim respondents commenting on products and services resulting from the partnership so far.

### 3.1.2. Joint initiatives of mutual interest and benefit

The second of the partnership’s strategic objectives is to

*explore, identify and develop joint initiatives of mutual interest and benefits, particularly those supporting sustainable livelihoods and biodiversity conservation.*

This wide-ranging objective has been **partially achieved**. Implementation was delayed to some extent by the need for each partner to learn more about the other’s interests and capabilities. There were some false starts, for example with regard to potential collaboration on Holcim’s biofuels strategy. The principal emphasis of the second objective concerned the link between sustainable livelihoods and biodiversity conservation, but two other areas of collaboration are also best assessed under this heading.

With regard to **sustainable livelihoods**, the main effort concerned joint development of enhanced strategies to promote biodiversity-based microenterprise development (B<sup>2</sup>MD). This theme, on which Holcim was already working, was identified as the priority in a workshop between ten CSR co-ordinators from Holcim Group companies and IUCN. It was already well known as a valuable way to enhance relations between Holcim and the often poor communities among which its operating companies work and employ their staff, and to help support such communities after plants close. The innovative element that IUCN helped to strengthen was the conservation of biodiversity through enterprise development and employment creation. A useful period of collaboration between Holcim Social Responsibility Staff and the IUCN Chief Economist ensued, leading to a document that elaborates on the concept and on procedures through which the partners, or other organisations, can promote such enterprises “to lift individuals and communities out of poverty while conserving biodiversity” (Holcim, 2009b: 3). Although both partners considered this a rewarding exercise, implementation and adoption of the concept and strategy have been constrained by the recent recession and its impact on Holcim budgets. No formal decisions have been taken on a broader way forward; implementation has been scattered. There has been no real successful pilot yet, although, as noted in section 1.3, Holcim plans further training for Latin American CSR focal points in November 2010.

### Recommendations

1. At global, regional and country levels, the partners should make a more systematic and co-ordinated effort in the next phase to develop, apply and learn from strategies to build sustainable livelihoods through the conservation and sustainable use of biodiversity. This effort should

comprise further analytical work, training events, joint community level programmes and dissemination of lessons learned.

2. As part of this better co-ordinated effort, Holcim and IUCN should structure and deliver joint inputs to international efforts to enhance understanding and action on the economics of biodiversity, building on the work of the initiative on The Economics of Ecosystems and Biodiversity (TEEB). The aim should be to achieve and showcase positive experience in building biodiversity conservation into profitable business practice and sustainable small-scale employment generation.

Part of the IUCN BBP's original idea for this second strand of collaboration was that the partnership could promote **joint activities by Holcim operating companies and IUCN offices at local level** around the world, focusing mainly on social and community development initiatives. As reported in section 1.3, a large number of these local activities have been developed or at least discussed. They span a wide range of topics and themes – some linked to the originally identified sustainable livelihoods priority, others not. To the extent that they have been successfully implemented, they have contributed to the generic ambitions of this partnership objective: to explore, identify and develop joint initiatives of mutual interest and benefits. No standardised monitoring and evaluation approach has been applied to these activities. A summary progress chart dated February 2010 identifies 24 countries in which partnership work has at least been identified. Formal agreements had been signed in seven of these; implementation was under way (or complete) in five; two had reached the 'celebrate success' stage. In some cases, visits by the Panel stimulated or supported these local collaborations between Holcim and IUCN and have inspired stronger operating company understanding of and commitment to the conservation of biodiversity (see box).

From the available data it is not possible to assess how effective these activities have been in furthering the sustainable development objectives of the partners and the participants. It is clear that there have been a number of operational misunderstandings and constraints, often revolving around the perception that IUCN was simply a contracted

**Some country-level agreements between IUCN and Holcim**

In **Sri Lanka** (a three year agreement signed in March 2007), four projects have been agreed: biodiversity conservation at the local operating company's limestone quarry; rehabilitation of mined coral reefs; work to increase the company's use of biofuels; and enhanced solid waste treatment at the company's Puttalam plant.

The five year agreement signed in February 2008 in **Vietnam** provides for IUCN to support Holcim Vietnam in integrating environmental considerations across its operations and in engaging in national and sector-wide debate about responsible environmental management practices. The partners are also collaborating on an integrated karst management plan for an area near a Holcim production site.

Interactions between IUCN **Mesoamerica** and Holcim in Costa Rica and Nicaragua include the development of general guidelines and policy advocacy strategies; collaboration on B<sup>2</sup>MD activities; and IUCN engagement in specific environmental actions such as the rehabilitation of three quarries in Costa Rica.

Collaboration between the IUCN Mediterranean office and Holcim **Spain** documented the rehabilitation of a quarry at Gravera el Puente, leading to the generation of broader lessons and guidelines and the publication of a book on the exercise (Holcim, 2009a).

*I got involved in the partnership in 2008. The Panel visited my country in 2009. This has got my operating company involved in many new things in our country, e.g. involvement in the Ecosystem Valuation Initiative – there is a case study in a forthcoming report on The Economics of Ecosystems and Biodiversity [TEEB]. I now communicate with the head of the IUCN Committee in my country, and with TEEB in Gland – so have professional interaction with IUCN over and above the Panel.*

Staff member of Holcim operating company.

service provider for the activities in question. These issues are discussed in section 4.6 below.

The third area of collaboration making a broad contribution to achievement of the partnership’s second objective was the **secondment** of a Holcim staff member to the IUCN Species Programme from September 2007 to April 2009. Secondments have not been as prominent a part of this partnership as they have been in the collaboration between IUCN and Shell, which has seen two Shell personnel working for extended periods in Gland and one IUCN officer based in The Hague. Plans to second someone from IUCN to Holcim had to be suspended due to budget constraints in the company during the global recession. Although both partners continue to support the idea of secondments, there have been no active steps to repeat the exercise in either direction. The one secondment that did occur focused mainly on support to Holcim activities that fed into the work of the Panel, notably the baseline inventory of Holcim sites and biodiversity risk and preparation of (and participation in) the Panel’s seven country visits to operating companies. Some contributions were made to the Species Programme, notably through work on communications for the Red List. But the main results were in support of the first of the partnership’s objectives, not the second. The seconded staff member was not adequately embedded in, or managed by, the programmes and systems of the Secretariat. The partnership benefited because Holcim benefited, in terms of the first objective. There was less direct benefit for IUCN.

**Recommendation**

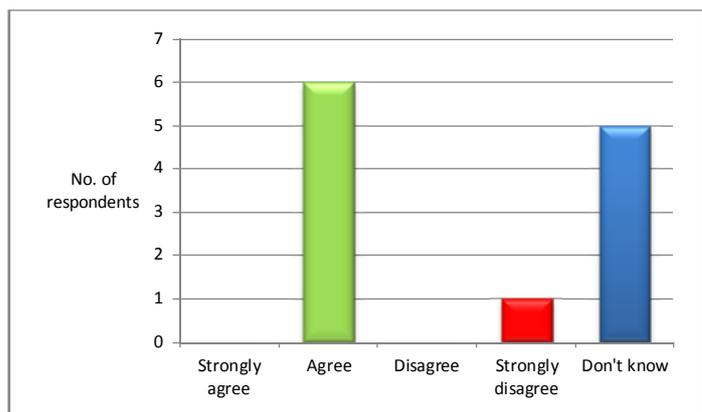
3. The next phase of the partnership should provide for secondments in both directions between IUCN and Holcim. Job descriptions for these secondments should be defined and managed to ensure that those transferred work mainly within the structure and programmes of the host organisation, beginning with a full orientation process and continuing with direct contributions to host organisation objectives within the framework of the partnership. Those seconded should report at least annually to the Steering Committee on lessons and recommendations about the partnership’s achievements and constraints.

**3.1.3. Sharing learning with the wider industry and conservation communities**

The third of the partnership’s strategic objectives is to

*Promote good practice by sharing the learning with the wider industry and conservation communities.*

Both partners have reasons to find this objective important. IUCN’s goal is of course much broader than enhanced performance by just one company in the building materials sector. It hopes that achievements with Holcim can be replicated by other companies, lifting standards in the sector as a whole. Cement is a local industry; in poorer countries it involves many small firms. For large companies like Holcim, it is particularly important that regulatory standards be raised across the sector (with regard to aggregates as well as cement production), so that they do not lose competitive advantage if they apply more stringent environmental procedures that



**Figure 7. IUCN respondents: 'learning from partnership shared with wider building materials industry'**

smaller local firms are not obliged to adopt. Although it might seem perverse, it is in Holcim's commercial interest that higher environmental standards are applied to the industry as a whole.

Understandably, however, **there has only been limited progress towards the third strategic objective.** Lessons must be learned (under objectives one and two) before they can be shared. Holcim is particularly concerned to communicate the final product, not the interim process (section 4.4). Separately and together, IUCN and Holcim have remained active in the WBCSD and its ecosystems focus area. Holcim in particular has participated in the work of the WBCSD's Cement Sustainability Initiative. It is also active in the European Cement Association (Cembureau). Both partners have been active in TEEB and have been involved, separately and together, in various interactions with other big European cement companies such as Lafarge and Cemex. Questionnaire respondents associated with

both partners were therefore mostly positive about the sharing of lessons across the industry (Figure 7 and Figure 8). There is a growing consensus in both the WBCSD and the CSI that industry attention needs to be broadened to biodiversity and ecosystems after a period when much of the attention has focused on energy and climate change concerns. IUCN and Holcim will be well placed to support this in the second phase of their partnership. With the BMS in place, they will have much to share with other players in the industry, without Holcim necessarily having to cede any commercial advantage in the process.

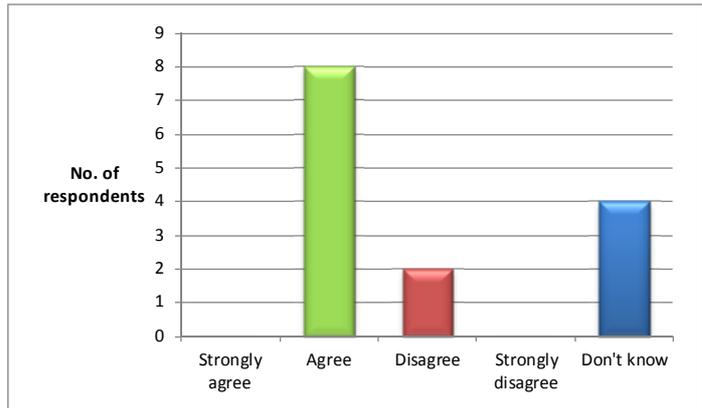
**Recommendation**

4. In the next phase of the partnership, much greater emphasis should be placed on the third of the current strategic objectives. The next phase should develop and implement a joint strategy by IUCN and Holcim for engaging with the Cement Sustainability Initiative and the broader building materials sector. Country-level partnerships should include elements for the sharing of experience and the promotion of higher environmental standards across the national building materials sector.

**3.2. The contribution of the Expert**

**Panel**

The contribution of the Expert Panel has been central to the effectiveness of the IUCN-Holcim partnership. It got off to a slow start, and for



**Figure 8. Holcim respondents: 'learning from partnership shared with wider building materials industry'**

*Outreach to industry has been started (conference presentation, outlines of our work presented to WBCSD, both to CSI and in Ecosystems workgroup; and at trade associations events, etc.) but main activities only planned for the future once Holcim has itself implemented a revised BMS based on the IEP's recommendations. Will be one of the focus areas of collaboration in Phase 2.*

Holcim respondent.

*Panel has been very pragmatic, down to earth; showing real life experience. Most credit in partnership must go to Panel and its chair. Output well accepted in Holcim.*

*The life cycle [of quarry] concept is important. Focus on biodiversity and conservation planning, areas of conservation importance, IBAT.*

*What's also been really positive has been the Panel – visits to their facilities, making assessments, giving comments, identifying potential, recognising some existing good practice. BMS has a lot of good comments and content.*

Questionnaire respondents.

various reasons (section 4.1) has since taken longer than originally expected to do its work. But both partners praise the way it has worked and the BMS proposals that it has developed. The Panel has been a good example of IUCN convening international scientific expertise to work with the private sector – although not all of its members belong to IUCN Commissions, which are the conventional source of such expertise for the Union. For this model to work, the experts in question must understand, and be able to communicate with, the private sector. Academic abstractions and theoretical models are not helpful. This Panel met these conditions. At both headquarters and operating company levels, Holcim personnel appreciated the practical style and valuable advice of Panel members. In developing the BMS and related systems, the Panel and the company have been able to engage in frank, critical, practical, constructive dialogue. Informants for this review were therefore positive about the contributions of the Panel. They feel that it has fulfilled its terms of reference; that its findings and recommendations have been clear and practical; and that Holcim is using its output.

Holcim’s principal use of the Panel’s recommendations is to develop the third level of the biodiversity policy framework: the guidelines, systems and procedures required to put the BMS into operation around the world. The original intention was that the Panel would generate recommendations at this level too, but it was soon, appropriately, agreed that this work was better done by the company. As noted in section 3.1.1 above, this process will require continued close attention by both partners, in order to ensure that the concepts and approaches recommended by the Panel are faithfully translated at this level.

IUCN’s use of the Panel’s work is less direct, except in the sense that the Panel has been the principal means for IUCN to deliver its technical commitments under the partnership.

Questionnaire responses not shown here do confirm a general belief in the organisation that the Panel’s outputs are being used. Less directly, these outputs have strengthened IUCN’s general model of panels as a way of advising and influencing the private sector.

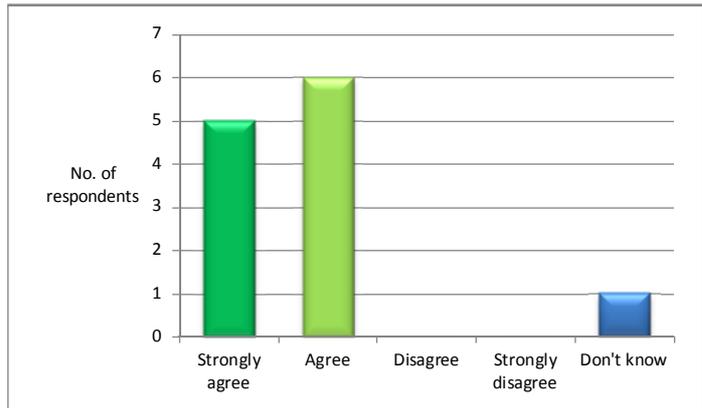


Figure 9. IUCN respondents: 'Panel has fulfilled its TOR'

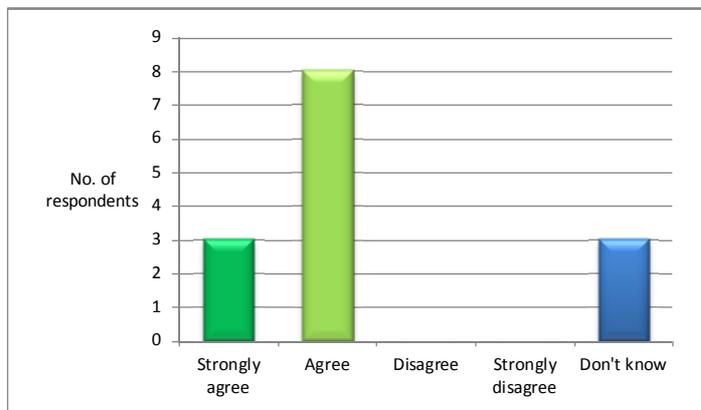


Figure 10. Holcim respondents: 'Panel has fulfilled its TOR'

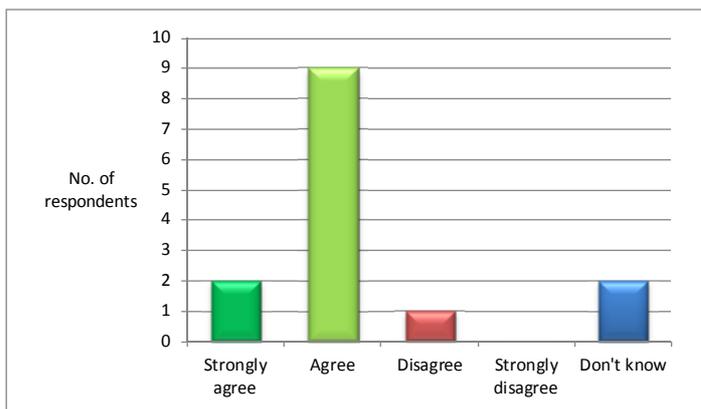
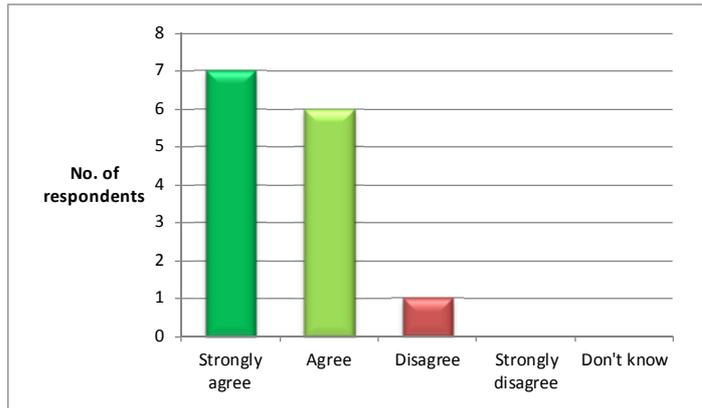


Figure 11. Holcim respondents: 'Panel's findings clear and practical'

There are also criticisms of the Panel experience in the partnership. The inclusion of a social scientist did not prove very effective. The Panel’s work and recommendations certainly need to take sustainable livelihood considerations into account, but there does not seem to have been clarity about how to do this. From another perspective, there are some views that the Panel worked too much from first principles, developing approaches and procedures from scratch when other companies have done a lot of similar work that might have been adapted and improved for Holcim’s purposes.



**Figure 12. Holcim respondents: 'Holcim is using Panel's findings and recommendations'**

Overall, however, both Holcim and IUCN greatly value the Panel’s contribution. It is currently finalising its input under the first phase of the partnership. The next question is whether it, or any panel, has a role in the second phase. The answer is affirmative. First, the detailed work of developing level three of the biodiversity policy framework will not be completed during the first phase; and the global task of applying it will only just be starting. External advisory support will still be valuable for both these purposes. However, the potentially huge demand for this support at operating company level must not reduce panel input to that of advisory consultants. Such support must be provided as an integral part of a global Holcim effort to apply the BMS and to learn lessons from the early years of this experience.

### Recommendation

5. A three person Independent Expert Panel, working under the present Chair, should be retained in the second phase of the partnership to continue advisory support to Holcim’s development of detailed BMS systems and procedures; to support the development of the necessary training materials; to monitor, advise and consolidate lessons from the application of the BMS by operating companies; to support the integration of the BMS with the company’s other environmental policies and systems; and to support the partners’ engagement with the cement sector at global and national levels.

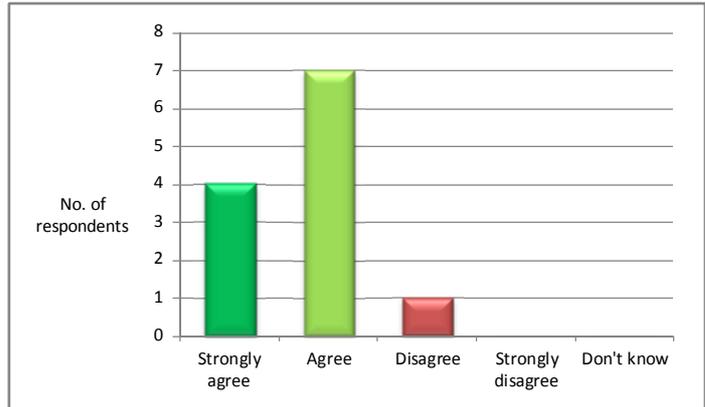
### 3.3. The value of the partnership

One of the broad tasks in the TOR for this review is to assess the value of the partnership to IUCN and Holcim. It is clear from the presentation so far that both partners value it highly. At the same time, the partnership has not been planned, monitored or reported in such a way as to permit wholly objective demonstration of that value. Section 13 of the partnership agreement said that “together, the Relationship Managers shall develop some practical indicators and shall advise the Steering Committee, no later than its second meeting, of such indicators against which progress shall be assessed... The Relationship Managers shall be responsible for ensuring that data is generated and gathered in a form and manner that enables an objective assessment of the progress by the Steering Committee” (IUCN and Holcim, 2007a: 6). The SC has certainly been kept well informed of progress, and a set of proposed relationship indicators was indeed prepared; they were attached to the TOR for this review (Annex 1) and some of them have been included in the review matrix (Annex 2). But the SC commented at its third meeting that “these indicators are fine but very demanding and given the size of the relationship this exercise is probably not feasible”. The indicators

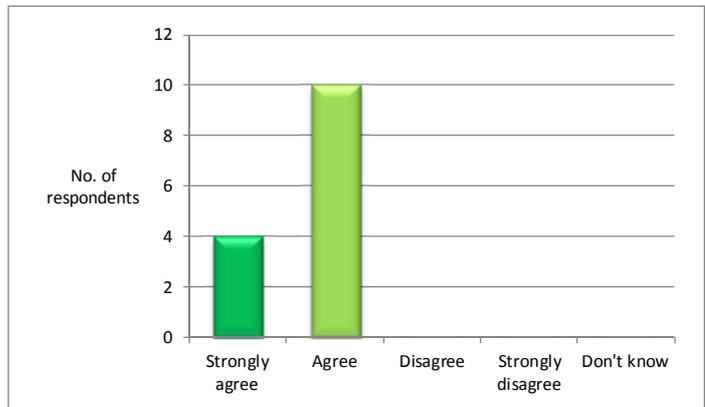
have not been tracked or reported systematically (although the Holcim RM maintained an internal ‘biodiversity action log’, timeline and event calendar in 2009). One progress update on the basis of these indicators was prepared in April 2008, and a second was included as section 7 of the interim report on the partnership produced by Holcim in September 2009 (Holcim, 2009c). The latter has been a valuable source of information for this review and is indicative of the type of semi-annual or annual reporting that the partners (not just Holcim) should be preparing and submitting to the Steering Committee.

**Recommendation**

6. Planning for the second phase of the partnership should specify sets of quantitative and qualitative indicators against which the performance of that phase will be monitored and reported. It should also assign responsibility for monitoring these indicators and reporting against them to the Steering Committee twice a year. As part of its oversight responsibility, the Steering Committee should ensure that this systematic monitoring and reporting take place.



**Figure 13. IUCN respondents: 'products and services of partnership represent best practice'**



**Figure 14. Holcim respondents: 'products and services of partnership represent best practice'**

Turning to specifics, the review matrix refers to the value of the partnership in terms of the degree of innovation and best practice represented by its products and services. A large majority of both Holcim and IUCN questionnaire respondents agreed that ‘the products and services of this partnership represent innovative solutions’. As can be seen from Figure 13 and Figure 14, they were also positive – though not unanimously so – about the degree to which the outputs of the partnership represent best practice.

More broadly, there are many indications that the partnership has been of value to both partners. Holcim is confident that the BMS will be useful, and not only at quarry sites; elements of the system can be applied to cement production sites too. Technically, IUCN feels that Holcim interest in the Integrated Biodiversity Assessment Tool has given this key instrument of the Species Programme an important boost. More broadly, the largely successful experience with Holcim has affirmed the Business and Biodiversity Programme’s strategy for engaging with key players in major fields of private sector impact on the natural environment.

Despite this positive message, there are two major questions about IUCN’s role in the partnership that potentially qualify its value for that organisation – and, indirectly, for Holcim as well. One of those questions concerns IUCN’s interactions with Holcim at country level, and is addressed in section 4.6.2 below. The other concerns its interactions with the company at global level. What contribution has IUCN made, and could it do more? Its major input has been to convene and support the Panel. Within the

Secretariat, the Relationship Manager has worked well to co-ordinate IUCN's inputs – but, apart from the Panel, those inputs have been relatively modest. Through the Chief Economist and colleagues, the Secretariat did achieve a productive, though temporary, interface with Holcim around the B<sup>2</sup>MD and TEEB work, building Holcim's understanding of and contribution to biodiversity conservation through employment creation. There was limited Secretariat engagement with, or reaction to, the work of the Panel. Nor did the Secretariat make best use of the Holcim secondment. Its work and funding are structured in such a way that it is difficult for staff to engage more than briefly with any activity outside their own programme, unless a special budget is made available for the purpose. Nor did the Secretariat arrange any systematic involvement by any IUCN Commission in the partnership. The Chair of the Panel has a long and distinguished history in the Species Survival Commission, but not all the other Panel members belong to any Commission. For most people in Holcim, and indeed in the Panel, direct engagement with IUCN was therefore limited to its Relationship Manager.

This raises basic questions about what roles IUCN, and especially its Secretariat, can or should play in engaging with such a partnership. At the root of those questions are perceptions inside and outside the organisation about its identity, structure and competences. IUCN is not just its Secretariat, of course. It is also six Commissions and, most fundamentally, over a thousand Member organisations. Partly because of the way the Secretariat projects the

Union's identity in relationships like the Holcim partnership, outsiders may see the Secretariat as the leading edge or element of IUCN. This may give outsiders too limited a view of what IUCN is or can do.

In the specific case of the Holcim partnership, Members appear to have figured mainly in the local and country level interactions, as discussed in section 4.6.2. There was no structured engagement with Commissions, as noted above. The Secretariat surprised some participants and observers by not engaging more actively. There are significant structural causes for this in the Secretariat's business model, but clarity is also needed about the Secretariat's role. Is it direct implementation of technical tasks, or is it primarily convening and facilitating others – in the first instance, Commissions and Members – to do the work, and playing background roles that range from technical oversight to administrative support? These are ongoing

**Some IUCN views on the value of the partnership**

*Having targeted an industry leader in the cement and aggregate sector (seen as the sustainability leader within that sector), has proven the right way to go for IUCN.*

*The capacity to identify competent experts within the IUCN networks and with the objective of providing independent advice, has confirmed that this is one of its core competencies when engaging with the private sector.*

*The outcome of this first phase has positioned IUCN to start thinking about biodiversity impact indicators for the extractive industries. This is ground-breaking indeed.*

*IUCN has been able to work indirectly on detailed corporate biodiversity policy development through the Panel. It has been able to influence the codification of best practice conservation for an extractive industry company.*

*Visibility, learning/experience on how to work with private sector, the possibility of addressing the root cause of biodiversity loss in certain areas.*

**Some Holcim views on the value of the partnership**

*Holcim should be using IUCN more for scientific assessment of sites and systems. Relying only on staff assessments is risky.*

*This type of collaboration is great – no need to recreate each other's work, knowledge.*

*Pragmatic and practical solutions; making progress and becoming leading edge in this area.*

*Catching up and overtaking competition in this arena.*

*Identify what biodiversity means for Holcim and show the opportunity side of our type of operation in this area.*

*A product that is "endorsed" by IUCN adds credibility.*

debates in IUCN, and this is not the place to try to resolve them – were that ever possible. But it must be noted that some participants in the Holcim partnership to date have not found the technical contribution of IUCN – by which they mostly mean the Secretariat - strong enough. As can be seen, the causes and validity of that view are debatable.

The corollary of this major question about IUCN’s involvement concerns the next phase of the partnership. Continuation of the Panel is recommended, but it should be on a smaller, less prominent scale. IUCN itself should play a stronger role. Is it able to do so, and how? Partly this will depend on the provision of budgets for defined activities, in which the Secretariat, Commissions and Members should all, ideally, participate. Partly it will require clarification of how much the Union expects its Secretariat to engage with such processes. Should it be restricted to the convening role that dominated its input to the first phase of the partnership? That is a legitimate and valued role, but some would feel that the Secretariat should be able to do more.

### **Recommendation**

7. For the next phase of the partnership, IUCN should develop a clear operational model and accompanying guidelines to explain how it will collaborate with Holcim. The guidelines should explain:
  - the role of a revised Independent Expert Panel (see recommendation 5);
  - the role of the Secretariat in convening, brokering and facilitating other technical support to and operational collaboration with Holcim at global, regional, national and site levels from IUCN Commissions, IUCN Members, the Secretariat itself and other sources – and the conditions in which each mode of engagement may be appropriate and valuable;
  - the implications and benefits for a Holcim operating company of engaging with IUCN in one or more of these ways (see section 4.6).

## 4. Efficiency

### 4.1. Introduction

As was explained in section 1.5, the terms of reference for this review (Annex 1) have been transposed into the conventional evaluation themes of relevance, effectiveness and efficiency, as shown in the review matrix (Annex 2). The 'efficiency' questions in the matrix can be traced back to the second specific objective of the review as stated in the TOR:

*To assess the extent to which the organisational arrangements, management and governance of the partnership [were] effective and still appropriate and provide a model for the next phase of the partnership.*

The following sections of this chapter on efficiency each respond to one of the questions posed under this review area in the matrix.

### 4.2. Delivery of outputs

A basic question about the efficiency of the partnership concerns the delivery of its planned outputs. Was it achieved, and was it achieved to schedule? There are narrow and broad ways to answer this question.

From the narrow perspective, it must first be noted that the intended outputs were not definitively stated in any detail. The partnership did begin by elaborating specific work plans for defined periods, but there was less and less reference to them in meetings of the Steering Committee. (Budget tracking and management, on the other hand, did proceed systematically.) The partnership agreement identified two work streams, roughly corresponding to the first and second strategic objectives and with no reference to the third. It listed seven activities (but not outputs) under the first, and three under the second. As Table 1 shows, most (but not all) of these activities have been carried out, and the implicitly intended outputs delivered. The September 2009 interim report listed four 'joint expected outcomes' (Table 2), corresponding more directly to the three strategic objectives. Later in the same document, Holcim presented a table of intended outputs and the state of progress with regard to each. These outputs referred to the development of the BMS and its elaboration, not to the full scope of the partnership.

**Table 1. Performance of activities outlined in partnership agreement**

<b>Work stream 1: the approach to biodiversity conservation management of the Holcim Group</b>	
Establish a baseline of current practice and related policies, guidelines and commitments	Done
Establish, classify and categorise the Holcim Group site inventory using IUCN knowledge, information and expertise	Done
Review existing quarry rehabilitation planning and implementation	Done
Review the quality of Environmental and Social Impact Assessments at selected sites within the Holcim Group	Done
Assess the need and viability of site-specific biodiversity action plans (BAPs) as a tool to guide biodiversity conservation management over the lifetime of an extraction site	Done
Measure biodiversity impacts using biodiversity and ecosystem metrics, in order to determine whether current research undertaken in this area can be used to establish practical Key Performance Indicators for Holcim Group site-specific monitoring and biodiversity management	Partially done
Develop a robust, pragmatic and comprehensive biodiversity policy and strategy,	Done

including guidelines and tools for the Holcim Group	
<b>Work stream 2: joint sustainable livelihood initiatives</b>	
Explore and encourage the use of sustainably produced or sourced biomass as an alternative fuel	Not done
Identify synergies between the social engagement, sustainable housing initiatives and nature conservation activities within the Holcim Group that can be realised through collaborative efforts in select locations	Partially done
Generate joint projects through a matching fund mechanism potentially leveraged with additional third party funds, recognising that it will require patience and sustained effort over an extended period given the time-consuming approval processes of donors, especially in the public sector	Some joint projects, but not through a matching fund mechanism

Activity descriptions are drawn from section 3 of the partnership agreement (IUCN and Holcim, 2007a: 2-3).

**Table 2. 'Joint expected outcomes' as defined in September 2009**

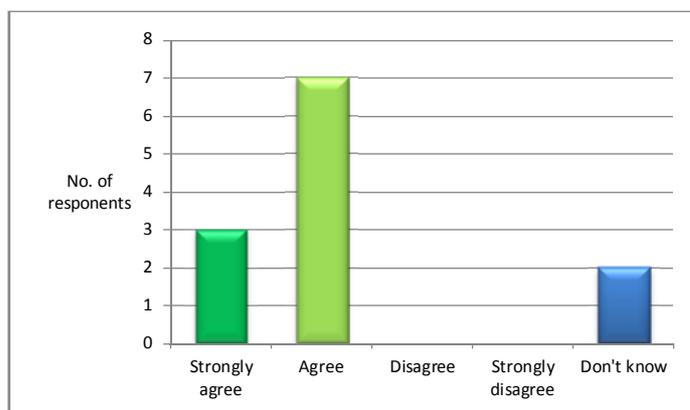
1	Critical review of our approach to biodiversity conservation management, identifying gaps in policy and implementation
2	Develop a more comprehensive and robust corporate biodiversity policy and strategy
3	Assist local operations with effective biodiversity conservation
4	Shape the long-term industry agenda

Source: Holcim, 2009c: 7.

From the narrow perspective, there is thus no very satisfactory way to determine whether planned outputs were delivered. Whether they were delivered to schedule was tracked by the Holcim Relationship Manager through his 'biodiversity action logs' and timelines, focusing on Panel activities and revealing steady slippage through 2009.

**Recommendation**

8. In the next phase of the partnership there should be more systematic use of work plans and schedules to specify outputs and track their delivery.



**Figure 15. IUCN respondents: 'partnership outputs have been delivered as planned'**

The broad way of answering the question is to look at partnership participants' overall view of this performance. Here the answer is clear. Overall delivery of outputs was satisfactory; in some areas it exceeded expectations, although in a few it fell short. Like views on delivery, perceptions of timing are dominated by the performance of the Panel, which started late and took longer than expected to deliver. (Twenty-seven per cent of Holcim questionnaire respondents said that outputs were not delivered on schedule, although none of the IUCN respondents reported delays!) These delays were the main reason for the one year, no cost extension of the first phase. They were caused by the initial slow start (partly associated with the need to replace the person first appointed as chair); by the evolving nature of the Panel's work as new issues were identified and additional reporting requests made; and by the fact that Panel members were only appointed to work part time on this assignment, leading to inevitable scheduling

difficulties. Overall, however, as reported above, neither Holcim nor IUCN considers the longer work period of the Panel to be a major issue.

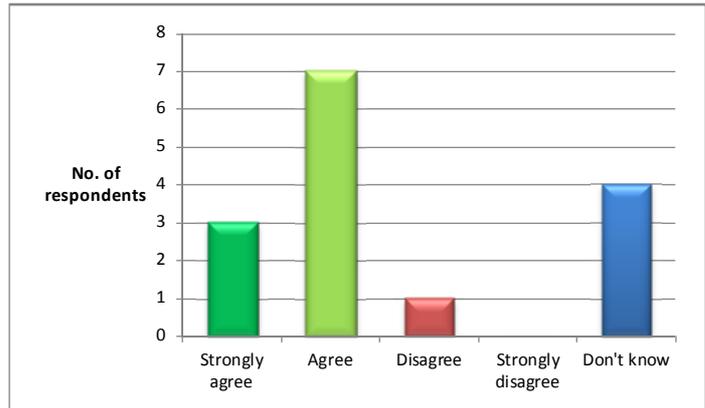
A significant issue for IUCN in this regard is that, although expert panels are valuable instruments for several purposes, they may pose management challenges. By definition they have a degree of independence from the Secretariat. At the same time, the Secretariat is typically responsible for ensuring that they perform to plan and to schedule. By definition they should be headed by senior figures who may or may not be amenable to management interventions by typically more junior Secretariat staff. In the case of the IUCN-Holcim Panel, no significant conflict arose in this regard, but there was certainly a degree of inhibition about how far the partners felt they could nag the Panel about timelines. Much obviously depends on the personalities involved. Overall, in the case of this Panel, they worked well together.

In general, however, there is a tolerant view of these delays. Participants accept that there was a learning curve and that it took time to develop familiarity and confirm arrangements. They believe that the work delivered by the Panel was worth the wait. Some also point out that these outputs came in under budget.

Part of the familiarisation process was for each organisation to understand and accept the work pace of the other. IUCN participants were surprised and sometimes taken aback by the speed at which Holcim takes decisions and moves ahead. Those on the Holcim side were at first disappointed but later more understanding of the more deliberative pace of IUCN and Panel operations.

### 4.3. Governance of the partnership

The efficiency of a relationship like the IUCN-Holcim partnership depends ultimately on its governance. In this case, the governance is carried out by the Steering Committee that



**Figure 16. Holcim respondents: ‘partnership outputs have been delivered as planned’**

#### **Delivery to plan and schedule: some views from interviewees and questionnaire respondents**

*Following initial delays, the partnership has gone on to achieve more than I'd have expected at the outset. The Panel's work has been more comprehensive, its expertise broader, than I'd anticipated.*

*The issue of social science and issues being in or out of the Panel's work was not very elegantly handled.*

*Delays didn't matter. Expenditure was lower than planned. Both parties were flexible, ready to adjust original agreement. Adaptive management.*

*Starting from the first meeting... I believe that we managed to create a relationship with a very open atmosphere which soon became one of trust. Both the relationship managers developed an excellent personal relationship and worked closely together, alternating by phone or face-to-face meetings. The delegation of a Holcim manager with a good grasp of environmental issues contributed very much, as did the extensive knowledge of the Holcim group by the Holcim relations manager. This enabled us to adapt the schedule to the delays in forming the Panel, and also to seize opportunities. It actually improved the deliverables while staying below budget.*

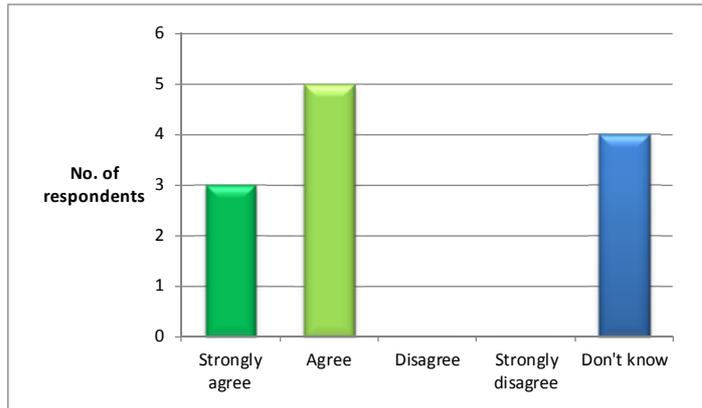
*The timing of some outputs has not always been good but the cause has also been the changes in demands from the private sector partner. The Panel has been very flexible in adapting their work to the changes coming from Holcim but on the other side this implied also some delays that Holcim was not always keen in accepting. Holcim weren't always clear on their own internal procedures which affected the entire agreement. The lesson is that more up front sharing of what are the processes (internal to the company and related to the project) needs to be included at the outset of the project.*

was established by the partnership agreement. The agreement specified that the SC should have “up to three representatives from each Party including IUCN Director, Global Programme, and the Senior Vice-President of Holcim responsible for the relationship, and supervisors of the Relationship Managers... the Relationship Managers shall be *ex-officio* members of the Steering Committee and shall, together, serve as its Secretariat... meetings [of the SC] shall be co-chaired by the most senior representatives of IUCN and Holcim, present at the meeting” (IUCN and Holcim, 2007a: 5).

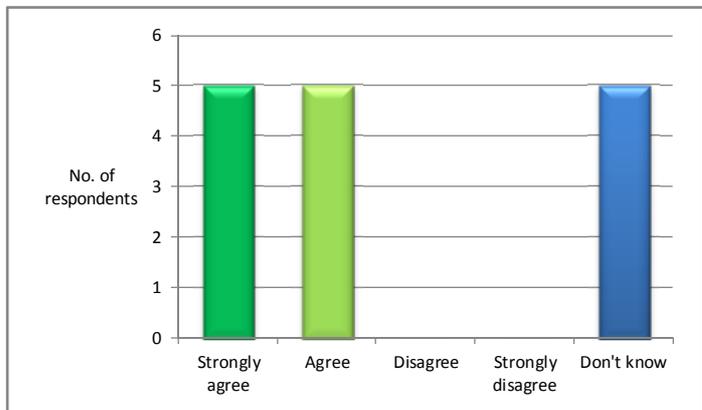
These arrangements have worked well, following a period of familiarisation and learning between the two sides. One important issue that had to be clarified was the independence of the Panel. Holcim originally expected that it, or the SC, would have more influence over its operation and outcomes, and it took some time for the concept of a fully independent body, accountable to IUCN, co-operating closely with Holcim, scrupulously confidential and yet transparent in its communications, to be elaborated and accepted. Another area of debate and learning concerned the funding of joint activities at country level. Here, Holcim had to confront the unwelcome reality that IUCN country office staff (or indeed those at headquarters) cannot do much substantive work on any activity unless there is project funding for it. They found that IUCN welcomed the principle of ‘working in a co-operative spirit’, i.e. without such funding or on a co-financing basis, but was not often able to put it into practice.

Steering Committee minutes and comments from participants suggest that the working atmosphere in this body has been frank but constructive. There have been critical exchanges of views, but a steadily growing collegial spirit. Good use has been made of attendance by the Relationship Managers and, on several occasions, the Chair of the Panel. Figure 17 and Figure 18 show that those questionnaire respondents who could answer on this point affirmed the effectiveness of the Steering Committee. (The full text of the questions can be seen at Annexes 4 and 5.)

To be effective, such a Steering Committee must meet two conditions. First, its representation must be sufficiently senior that its decisions have the full authority of the parties. Secondly, there must be effective links between the governance and oversight undertaken by the SC and the management in the partner organisations that actually achieves the required direction and delivery.



**Figure 17. IUCN respondents: ‘SC has been effective in supporting and guiding implementation’**



**Figure 18. Holcim respondents: ‘SC has been effective in supporting and guiding implementation’**

In the case of the IUCN-Holcim body, the membership has certainly met the first condition. Holcim representatives report to the company’s Sustainable Development Steering Committee, which includes four members of its Executive Committee, the top management structure. On IUCN’s side, membership of the Director, Global Programme, came to mean participation by the Deputy Director General (DDG), as those two posts merged. This is arguably too senior a position to sit on the SC for a specific partnership, and raises questions for IUCN about how many such bodies its DDG can be expected to sit on. On the other hand, the experience and authority of the incumbent have certainly been an asset for this SC to date. IUCN will have to decide whether he remains on the SC for a second phase. In formal structural terms, he should probably not sit on any such partnership governance bodies. In practice, his continued participation would be beneficial.

Meeting the second condition has been easier for Holcim than for IUCN. The arrangements just outlined, and the Holcim Relationship Manager’s networks at senior levels in the company, mean that there is a direct and effective linkage between governance and management. That linkage is harder to achieve in IUCN – not because of any reluctance about the partnership, but because the Secretariat management’s time and resources are more thinly spread and the lines of authority and communication are more diffuse. It is not always easy for the IUCN RM to get the attention and support of higher management. This dilutes the linkages between governance, management and delivery.

Questions have been raised and recommendations made in sections 3.3 and 4.1 above about the systematic use and reporting of performance indicators, work plans and schedules. The SC is a governance body, not a management one. Its minutes show that it has tracked and directed the performance and expenditure of the partnership. But there is scope for it to ensure the more intensive and uniform application of these management tools.

#### 4.4. Transparency, confidentiality and communications

Transparency and confidentiality are bound to be sensitive issues in any partnership between an NGO and a business. The IUCN-Holcim partnership agreement was succinct and clear:

*The Parties commit to transparency in this Relationship. Neither Party shall unreasonably hold information confidential. However, where for commercial, strategic or other reasons, one Party designates any information confidential, the other Party shall abide by the confidentiality requirements with respect to such information.*

IUCN and Holcim, 2007a: 5.

The partners developed communications guidelines within two months of signing their agreement (IUCN and Holcim, 2007b). These commit the partners to consultation while allowing them freedom of communication with regard to “aspects of the other party’s operations that fall outside the scope of the agreement” (IUCN and Holcim, 2007b: 4). Again, however, the partners agreed to consult each other in advance about any such potentially critical communications. Transparency is confirmed as one of the broad content

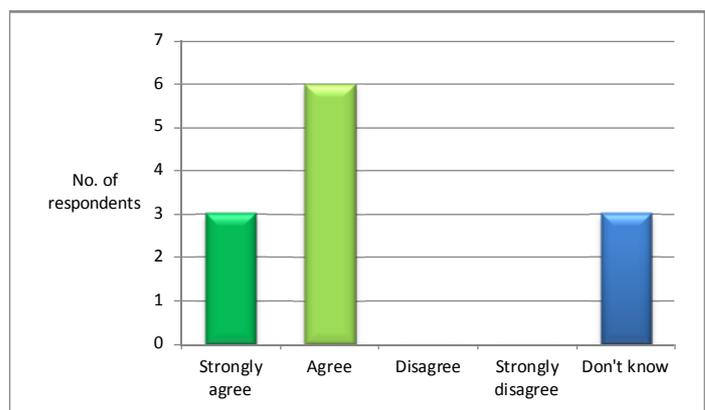


Figure 19. IUCN respondents: 'principle of transparency effectively applied in the partnership'

guidelines that should guide communications about the partnership.

Both partners express general satisfaction with regard to transparency, confidentiality and communications. Figure 19 shows the views of IUCN questionnaire respondents about transparency, the issue that might be expected to concern them more. Holcim respondents were also positive on this score. Figure 20 shows what Holcim respondents felt about confidentiality. Again, IUCN responses were much the same. As noted in section 4.3, there was some discussion in the early stages of the Steering Committee about how the Panel would function in this regard. These concerns epitomised the sensitivities referred to above. To be credible, the Panel (and, by extension, IUCN) must be transparent. At the same time, it is reasonable to expect the Panel, and IUCN, to respect the confidentiality of some Holcim information and to keep draft and interim documentation internal, only publishing final versions. Both partners, and the Panel, have found these provisions acceptable. After the initial clarifications there has been little further concern in this regard. As Figure 21 and Figure 22 show, questionnaire respondents felt that the Panel has been transparent in communicating its findings and recommendations.

The partners' stances with respect to communications reflect their different characters. Holcim prefers not to communicate process; only the product. As one informant put it, "it communicates when it's delivered and has something to tell". For IUCN, on the other hand, communication is a key part of the advocacy inherent in its mission. It can help to achieve the intended product. Some in the organisation are therefore unhappy about Holcim's stance. Again, however, there has been no significant dissonance in the partnership between these contrasting approaches. There has been no formal joint communication since the signature of the partnership agreement, although a more intensive phase of communications is likely to begin with the planned leaflet and joint side event at the CBD COP in Nagoya this month.

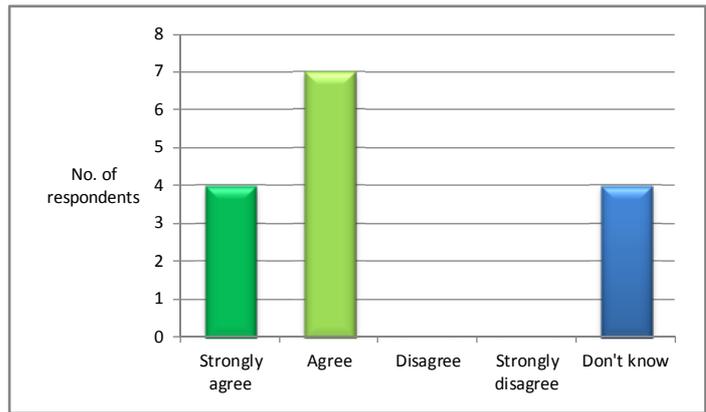


Figure 20. Holcim respondents: 'principle of confidentiality effectively applied in the partnership'

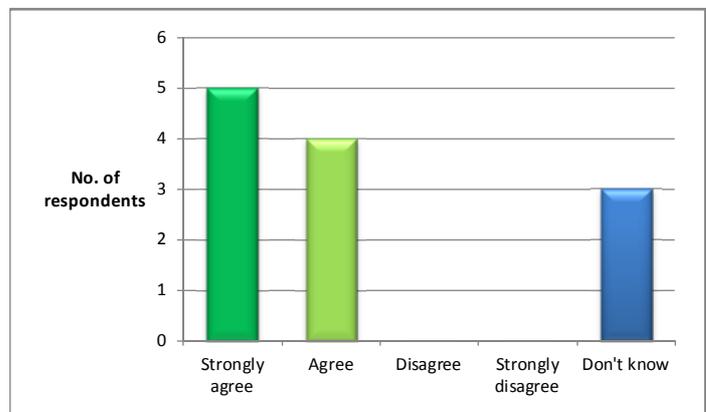


Figure 21. IUCN respondents: 'Panel transparent in communicating findings, recommendations'

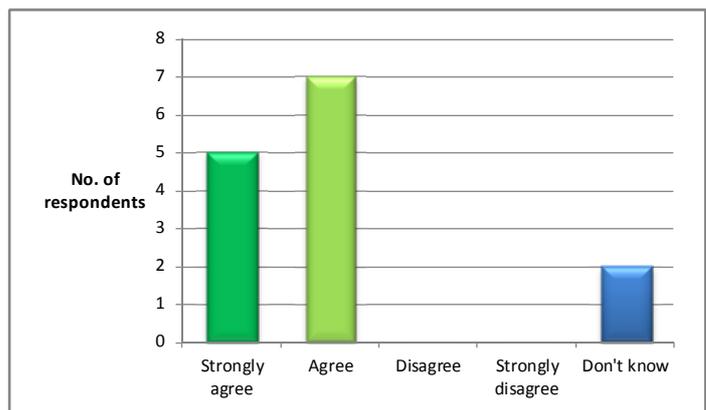


Figure 22. Holcim respondents: 'Panel transparent in communicating findings, recommendations'

Holcim has been more active and effective than IUCN in its internal communications about the partnership. More than 100 staff have now signed up to receive the Biodiversity Ecosystem Services Newsletter that the Holcim RM produces. Working communications between the partners, and notably their Relationship Managers, have been good, although not perfect. Partly because of the different working styles and speeds referred to above, IUCN has occasionally felt taken by surprise by developments at Holcim, and not every IUCN decision or action has been perfectly or promptly communicated to Holcim. Overall, however, the partners have taken a constructive and cordial attitude to these sensitive issues.

#### 4.5. Funding arrangements and performance

Funding arrangements for this partnership have been both satisfactory and unsatisfactory. The core budget, which included funding for the work of the Panel, has been sufficient. Indeed, a one year no cost extension was possible and the agreed activities have still been completed under budget. The mostly positive views expressed by questionnaire respondents presumably refer to this situation (Figure 23, Figure 24 below; see Annexes 4 and 5 for full question wording).

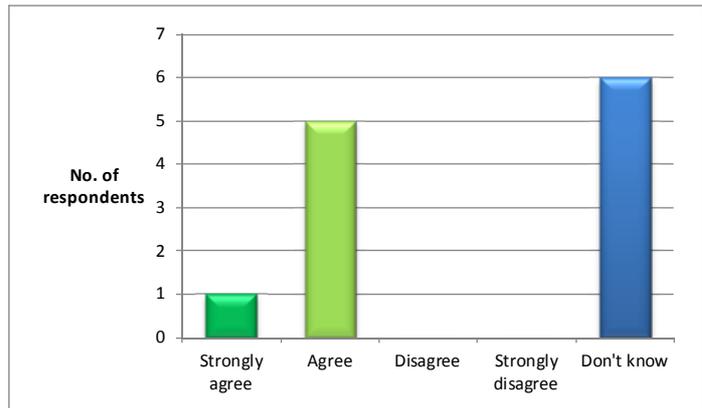


Figure 23. IUCN respondents: 'the budget allocation has been adequate'

However, IUCN's funding structure and constraints have raised obstacles and concerns. At both headquarters and country levels, Holcim has been confronted with the reality that the organisation has little scope for engagement with new activities unless specific funding is provided for them. Furthermore, a substantial overhead must be added to direct project costs in order to cover the administrative costs of this major world body. At both levels, some of the Holcim people identifying attractive opportunities for collaboration have been taken aback on realising that separate budgets, plus these overheads, would have to be provided. Original hopes for co-funded activities were disappointed, as reported in section 4.3 above. At local levels, IUCN offices have sometimes been disappointed by Holcim's disappointment, and resentful of operating companies' reluctance to pay what they budget as the true, full costs of engaging in the partnership. As will be discussed further below, this has sometimes led to scenarios of apparent competition between the IUCN Secretariat and Members. Ultimately, Holcim's view of IUCN from the funding perspective is of a rather expensive organisation, and some IUCN participants see Holcim as unreasonably keen to reduce the budgets for its engagement in the partnership. These issues require further communication and explanation, as will be shown below.

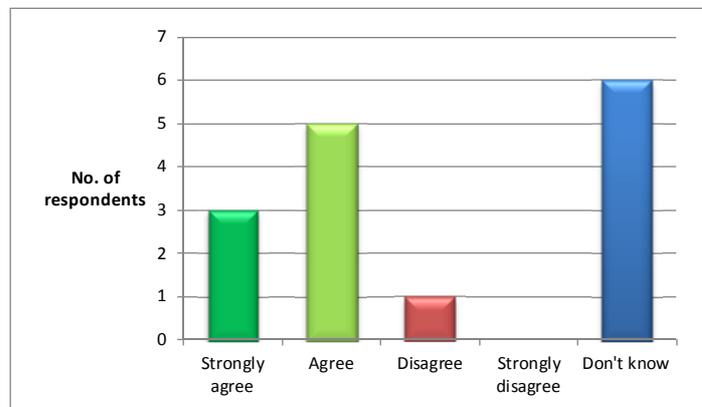


Figure 24. Holcim respondents: 'the budget allocation has been adequate'

#### 4.6. Organisational arrangements and performance

The review matrix (Annex 2) covers a number of important efficiency issues under a question about the influence of organisational arrangements and performance on the efficiency of the partnership. These issues are addressed in the sub sections below.

##### 4.6.1. The Relationship Managers

The Relationship Manager model has served this partnership well. As can be seen from Figure 25 and Figure 26, questionnaire respondents across the board were positive about the RMs' contribution. Although constrained by various factors discussed in this chapter, both have made effective contributions to the implementation of the partnership agreement. Funded on both sides by Holcim, this model has proved a worthwhile investment. Its success depends in large part on the personalities in question. Each has specific challenges. Long company experience and strong managerial competence have enabled the Holcim RM to drive the changes arising from the partnership some way through the organisation – although there is a long way to go. In this case, the company selected the individual on the basis of experience and proven performance within the company, rather than an environmental background – then complemented him with a colleague in the Environmental Relations section who did have those skills and was then seconded to IUCN for 18 months. This strategy has worked well. The IUCN RM has faced different challenges in the less structured, more loosely managed environment of the Secretariat, where, as noted above, the organisational and funding model make it difficult to co-ordinate technical input to partnership activities. The perceived strong performance of IUCN in many aspects of this partnership has depended heavily on her own efforts. The challenge for an RM in the IUCN Secretariat is to dispel any perceptions of the partnership as 'her' activity and to promote its integration into all the relevant work programmes and job descriptions.

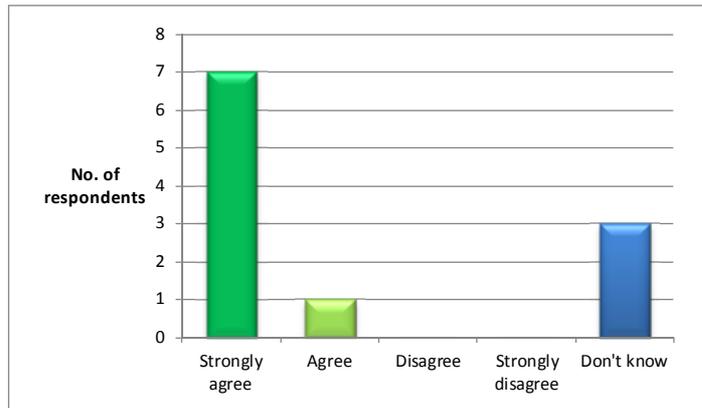


Figure 25. IUCN respondents: 'Relationship Managers are effective'

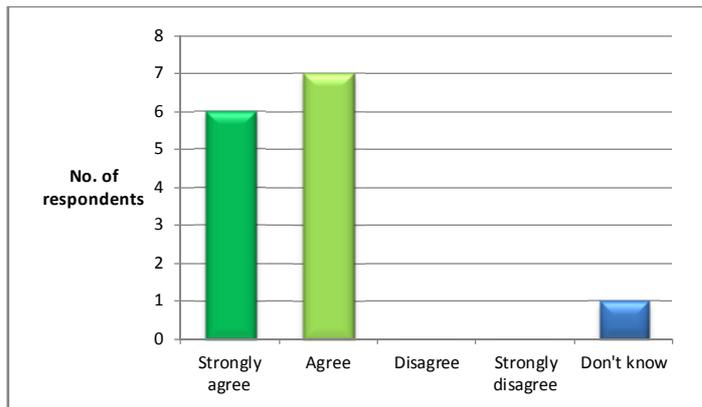


Figure 26. Holcim respondents: 'Relationship Managers are effective'

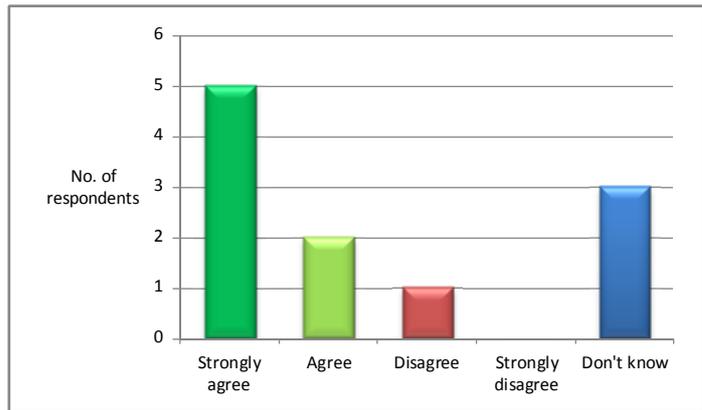
##### 4.6.2. The partnership at local level

As was shown in sections 1.3 and 3.1.2, Holcim's local operations and IUCN's regional and country offices have played significant roles in the implementation of the partnership agreement. In some countries, substantive engagement between IUCN country or regional offices and Holcim operating companies has already led to meaningful outcomes that are valuable for society, the natural environment and the two

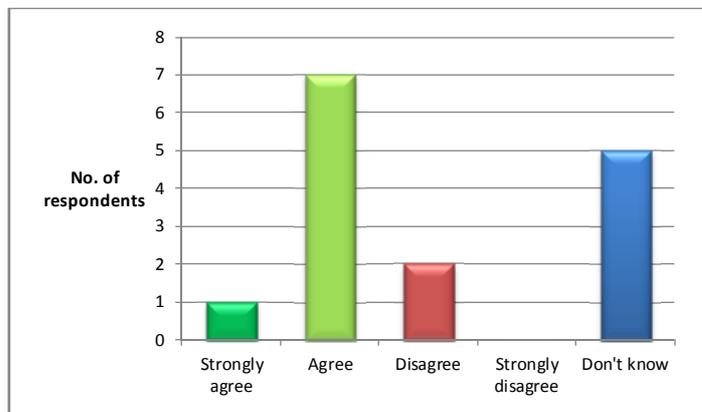
organisations themselves. In other cases, the interactions remain preliminary, or joint activities have not yet yielded tangible results. Arranging these collaborations has not always been straightforward, as a few questionnaire respondents hinted (Figure 27, Figure 28). Two fundamental factors have been at work.

The first factor is the nature of the IUCN Secretariat's operations at regional and country levels. Having grown enormously since the 1980s, the Secretariat has become a major agency for the implementation of nature conservation and sustainable development activities around the world. It has built a strong reputation and achieved many beneficial results. But, having built this momentum, it now has to sustain it by maintaining a flow of project business. In the process, it has altered its status within the Union – from being the secretariat of the Commissions and Members dedicated to the science and practice of nature conservation, to being a major executing agency in its own right, sometimes competing with its own Member organisations for project business. Meanwhile, with very little unrestricted budget to help make the value of its total programme more than the sum of its project parts, the Secretariat is constantly stressed by the effort of maintaining what is claimed to be IUCN's special role and character. These trends and concerns have been debated in IUCN for decades, but they have arisen again in the context of the partnership with Holcim. Tensions have arisen with the Union's membership in some countries – although IUCN management always emphasises that the Secretariat should be supporting, not competing with Members.

The second factor is linked to the first. The character of the partnership, and of the partners, has not been adequately communicated and explained at country levels. Some Holcim operating companies have embraced the idea of working with the sort of environmental expertise that IUCN can provide, but have treated the relationship as technical service provision by IUCN on the basis of a contracted project budget. Driven by the factors outlined above, local IUCN offices have sometimes behaved rather as if they were simply project contractors, analogous to consulting companies and some IUCN Members. Predictably, the Holcim companies have then looked at the local market and wondered why they are being encouraged to procure these services at higher cost from IUCN when alternative providers would supply them for less. Neither party at this local level seems to have had an adequate understanding of the character and intent of the partnership – and IUCN, for its part, did not have the financial room to make engagement a simpler proposition for Holcim. Not inappropriately, operating companies in Indonesia and India ended up contracting environmental activities with IUCN Member organisations rather than with the Secretariat. The operating companies, meanwhile, do not fully share (and may not be fully informed of) the priorities of the



**Figure 27. IUCN respondents: 'Holcim's local operations have made an effective contribution'**



**Figure 28. Holcim respondents: 'IUCN regional, country offices have made an effective contribution'**

Holcim Group as a whole. In the environmental field, their strongest concern is compliance with local regulatory frameworks.

Especially in developing countries, the partnership has not yet gained adequate traction at the local level. The strong global principles and commitments about a shared effort are poorly reflected in what sometimes ends up as mercenary skirmishing between IUCN country offices and Holcim operating companies. Both partners have analogous problems in this regard. The federalist structure of the Holcim Group does not facilitate the direct transfer of approaches from the centre to the field. The funding structure of IUCN makes it difficult for local offices to reflect global commitments in practice, unless their substantial operating and overhead costs can be met in full. Against this background, neither organisation has been fully effective in the communication and advocacy of this partnership from the centre to the field.

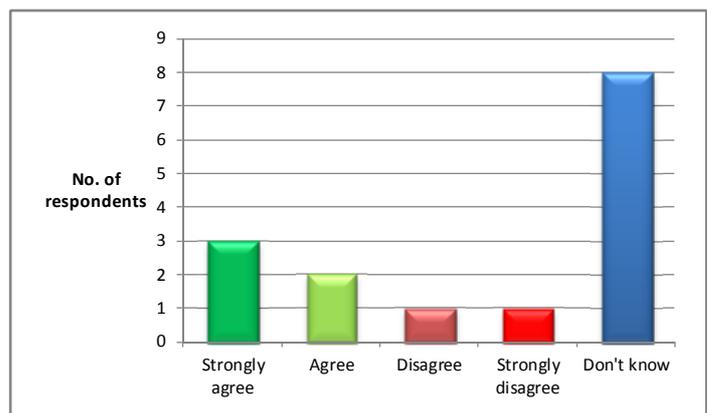
Despite these problems, several interviewees reported genuine progress, notably in countries where the Panel made field visits and offered practical advice. Success also depends on intensive and constructive collaboration between the Relationship Managers and their counterparts in operating companies and IUCN regional and country management. Some operating companies have built familiarity with, and trust in, IUCN. Investment by some regional and local IUCN managers is starting to pay off. Trust is being built. As the BMS is put into operation, there is scope for an expanded and more effective engagement between IUCN and Holcim at local levels in the next phase of the partnership.

**Recommendation**

9. Within the framework of the operational model and guidelines proposed in recommendation 7 (section 3.3), the second phase of the partnership should make explicit provision for the roll out of the BMS, and other mutually beneficial activities, in collaboration between IUCN and Holcim at regional and country levels. Special attention should be given to a co-ordinated effort in three countries of South and/or East Asia, where the IUCN regional and national offices should work to build understanding and commitment with regard to the purpose, mode and outputs of such collaboration.

**4.6.3. Financial administration**

IUCN’s financial administration and management of the partnership has been efficient at the headquarters level. No specific adverse comment was received about performance at country levels, although it is possible that some shortcomings in country offices gave rise to the two critical answers from Holcim questionnaire respondents (Figure 29). All the IUCN respondents said that the organisation had administered partnership finances efficiently.

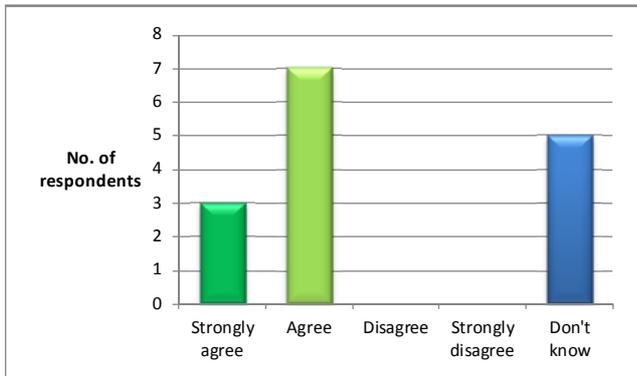


**Figure 29. Holcim respondents: 'IUCN has administered partnership finances efficiently'**

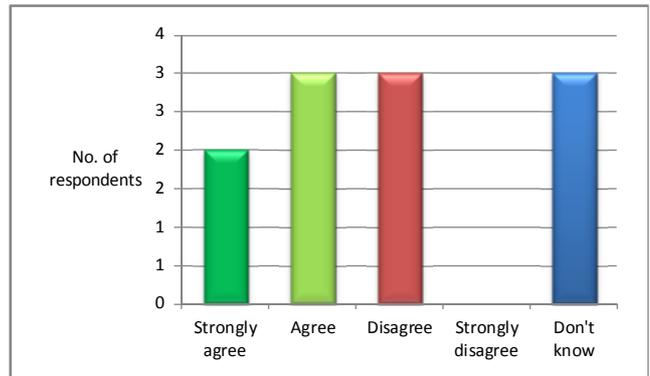
**4.6.4. Secondments**

Secondments have played a smaller role in the partnership than originally envisaged. There has been no secondment from IUCN to Holcim. Due to budget constraints in Holcim during the recession, the previously planned second secondment from the company to IUCN did not take place. Lessons learned and

a recommendation deriving from the mixed experience with the one secondment that did occur are presented in section 3.1.2 above. Questionnaire respondents' views are summarised in the charts below.



**Figure 30. Holcim respondents: 'Holcim secondment made effective contribution to objectives'**



**Figure 31. IUCN respondents: 'Holcim secondment made effective contribution to objectives'**

## 5. Conclusions

### 5.1. Performance to date

**Despite some deviations and shortcomings, the IUCN-Holcim partnership has performed well for both parties.** Section 3.1 showed the extent to which its three strategic objectives have been achieved: the first, wholly, the second, partially, and the third, as might be expected, only to a limited extent so far. Most senior management on both sides therefore express strong satisfaction with the partnership. The value derived from it is more apparent for Holcim, which is poised to apply a Biodiversity Management System developed with world class expertise in thoughtful collaboration with the company. IUCN has not capitalised on the partnership so directly, but has nevertheless found it less contentious and more directly fruitful than some of its other private sector linkages. This partnership has strengthened IUCN's confidence that such links with the private sector can help it to pursue its mission effectively, and is probably its best current model of using such relationships to help achieve the goals of its Business and Biodiversity Programme.

**While the operational performance of the partnership has been generally strong, its structural performance is less satisfactory.** A true partnership is built on mutuality; it has a symmetrical character. This partnership does not yet have that symmetrical character. It has sometimes seemed more like advisory service provision by IUCN (or its agents) to Holcim. A related early concern was that Holcim should understand and respect the independence of the Panel. This was achieved. Misunderstandings and sub optimal performance have characterised some local and country-level agreements between the partners. The problems have been caused, *inter alia*, by perceptions (sometimes by both sides) of IUCN as simply a contracted service provider; by tensions between the IUCN Secretariat and local Members; and by inadequate communication from both headquarters about the intended character of the partnership.

Greater symmetry can be anticipated if the partners now work together to engage with the cement industry as a whole, and if IUCN's Business and Biodiversity Programme is able to capitalise on the largely successful engagement with Holcim to learn and apply broader lessons about influencing businesses' biodiversity and sustainability strategies.

Stronger symmetry will also depend on enhanced engagement by IUCN. To date, relatively few Secretariat staff (other than the Relationship Manager) have had much substantive involvement in the partnership at headquarters. Funding models and workloads seem to inhibit deeper and more consistent engagement. The main input has come from the Panel, whose work (although it took longer to start and finish than anticipated) has been greatly appreciated by both partners. There has been more engagement by some Secretariat personnel at regional and country offices, but greater clarity and consistency are needed in determining the respective roles of the Secretariat and Members in working with private sector partners at those levels. At all levels, there is also the question of whether a more structured effort should be made to engage Commissions in partnerships of this nature.

Fundamental questions thus arise about what IUCN should contribute to such a partnership, and how. Should substantive technical input be expected from the Secretariat, or should it come mainly from Commissions and Members? In this partnership, it has so far come mainly from the Panel, which was convened by the Secretariat. Co-ordination, facilitation and advocacy are meant to be primary functions of the Secretariat. Expectations about what technical inputs it can and should make will have to be clarified in the future of this partnership.

## Recommendation

10. The partnership should become more symmetrical. IUCN should not simply be brokering technical support to achieve change in Holcim. The partners should be working together to achieve change across the sector. Holcim should be helping IUCN to develop and deliver generic lessons about how to achieve conservation-focused change across a global business. Revision of the partnership's first strategic objective should reflect these recommendations.

## 5.2. A partnership assessment tool

Various methods have been developed for the structured assessment of partnerships. Review of the literature did not identify one that could appropriately serve as the central instrument for this review. However, a partnership assessment tool developed for the United Kingdom government does offer a useful way of summarising the status of the IUCN-Holcim partnership (Hardy *et al.*, 2003). It was designed for use, much like the survey questionnaires used for this study, as a series of statements that participants would score on the basis of agreement or disagreement. These statements are grouped under six 'partnership principles'. Rather than offering a score on an agreement/disagreement scale, Table 3 below shows each of the normative statements presented by the UK government tool, and offers a summary statement about the IUCN-Holcim partnership. Not all the statements are directly applicable to this partnership, of course, as they were developed for partnerships involving public sector agencies. As a possible stimulus to critical reading of the table, the reviewer's summary judgment is shown in colour in the right hand column. Bright green is a strongly positive assessment; bright red the opposite. No colour is inserted for criteria judged not applicable to this partnership.

**Table 3. Summary partnership assessment**

<b>Principle 1: recognise and accept the need for partnership</b>		
<i>There have been substantial past achievements within the partnership.</i>	Not yet, but on the verge of delivery.	
<i>The factors associated with successful working are known and understood.</i>	Lessons have been learned, clarity is emerging.	
<i>The principal barriers to successful partnership working are known and understood.</i>	Lessons have been learned, clarity is emerging.	
<i>The extent to which partners engage in partnership working voluntarily or under pressure/mandation [sic] is recognised and understood.</i>	Both partners recognise that joint activities are voluntary but that, having committed to a formal partnership, they have some obligation to deliver.	
<i>There is a clear understanding of partners' interdependence in achieving some of their goals.</i>	This understanding is largely, but not completely, in place: still inhibited in some cases by perceptions of IUCN as a contracted service provider	
<i>There is mutual understanding of those areas of activity where partners can achieve some goals by working independently of each other.</i>	Yes.	
<b>Principle 2: develop clarity and realism of purpose</b>		
<i>The partnership has a clear vision, shared values and agreed service principles</i>	Clear vision in place; no plan for fully shared values, but understanding and trust built. Agreed service principles not applicable (NA).	
<i>The partners have clearly defined joint aims and objectives.</i>	Aims and objectives defined, but not fully specific (especially strategic objective two).	
<i>These joint aims and objectives are realistic.</i>	Yes.	
<i>The partnership has defined clear service outcomes.</i>	NA	
<i>The reason why each partner is engaged in the</i>	True at central level; not fully true at country level.	

<i>partnership is understood and accepted.</i>		
<i>The partners have identified where early partnership success is most likely.</i>	No 'early' success was envisaged; always understood that the work would take time.	
<b>Principle 3: ensure commitment and ownership</b>		
<i>There is a clear commitment to partnership working from the most senior levels of each partnership organisation.</i>	Yes.	
<i>There is widespread ownership of the partnership across and within all partners.</i>	Ownership is growing, but limited by IUCN funding model and by incomplete communication of partnership to country level.	
<i>Commitment to partnership working is sufficiently robust to withstand most threats to its working.</i>	Partnership working still, understandably, conditional on funding.	
<i>The partnership recognises and encourages networking skills.</i>	Networking is recognised as a necessary fact of successful operations in both organisations, although not always explicitly encouraged.	
<i>The partnership is not dependent for its success solely upon individuals with these skills.</i>	True, but such individuals and their skills are a key ingredient of success.	
<i>Not working in partnership is discouraged and dealt with.</i>	Probably true at headquarters level, especially in Holcim, but not necessarily at country level.	
<b>Principle 4: develop and maintain trust</b>		
<i>The way the partnership is structured recognises and values each partner's contribution.</i>	Yes.	
<i>The way the partnership's work is conducted appropriately recognises each partner's contribution.</i>	Not fully true at country level.	
<i>Benefits derived from the partnership are fairly distributed among all partners.</i>	Most activities not yet at benefits stage, but those that have emerged have accrued mainly to Holcim.	
<i>There is sufficient trust within the partnership to survive any mistrust that arises elsewhere.</i>	Yes.	
<i>Levels of trust within the partnership are sufficient to encourage significant risk-taking</i>	Trust is high and rising, but funding model inhibits significant risk-taking.	
<i>The partnership has succeeded in having the right people in the right place at the right time to promote partnership working.</i>	True where it most matters, at headquarters level. Not fully true at country level.	
<b>Principle 5: create clear and robust partnership agreements</b>		
<i>It is clear what financial resources each partner brings to the partnership.</i>	Yes – although Holcim would prefer a different disposition.	
<i>The resources, other than finance, that each partner brings to the partnership are understood and appreciated.</i>	Largely true, although those at country level still need more information and understanding in this regard.	
<i>Each partner's areas of responsibility are clear and understood.</i>	Largely true, although again more clarity is still needed at country level.	
<i>There are clear lines of accountability for the performance of the partnership as a whole.</i>	True.	
<i>Operational partnership arrangements are simple, time-limited and task-oriented.</i>	Largely true, except that better definition would have enhanced implementation under strategic objective 2.	
<i>The partnership's principal focus is on process, outcomes and innovation.</i>	True.	
<b>Principle 6: monitor, measure and learn</b>		
<i>The partnership has clear success criteria in terms of both service goals and the partnership itself.</i>	Further clarity and uniform application of performance indicators would be beneficial.	
<i>The partnership has clear arrangements effectively to monitor and review how successfully its service aims</i>	Improvements are needed in this regard.	

<i>and objectives are being met.</i>		
<i>There are clear arrangements effectively to monitor and review how the partnership itself is working.</i>	Again, these arrangements could be enhanced.	
<i>There are clear arrangements to ensure that monitoring and review findings are, or will be, widely shared and disseminated among the partners.</i>	True for external review; not so clear for internal monitoring.	
<i>Partnership successes are well communicated outside of the partnership.</i>	True.	
<i>There are clear arrangements to ensure that partnership aims, objectives and working arrangements are reconsidered and, where necessary, revised in the light of monitoring and review findings.</i>	True, although not applied as systematically as envisaged in the partnership agreement.	

Table criteria and format based on Hardy *et al.* (2003).

### 5.3. The value of a second phase

As noted in sections 1.4 and 1.5, the decision has already been taken in principle to continue the IUCN-Holcim partnership with a second phase. The Steering Committee envisaged that, as originally planned for the first phase, this phase should run for three years.

**This review confirms that a second phase would be valuable for both partners.** Indeed, to stop the partnership now would greatly diminish, if not negate, the value of what has been achieved so far. Through the partnership, Holcim has laid the foundations for innovative, global leadership through a Biodiversity Management System. Now is the time to capitalise on this potential. Through the partnership, IUCN has created potential that it has not yet exploited, for strengthening its approaches to the private sector in general and to the building materials sector in particular. Both parties have seen the potential of working together as trusted but contrasting professional partners. Through further collaboration, they can make the whole of their partnership much more than the sum of its parts.

#### Recommendation

- The IUCN-Holcim partnership should be renewed for a second phase. Three years should be considered a minimum duration for this phase. Five years would be a more appropriate to develop and exploit the full potential value of further collaboration.

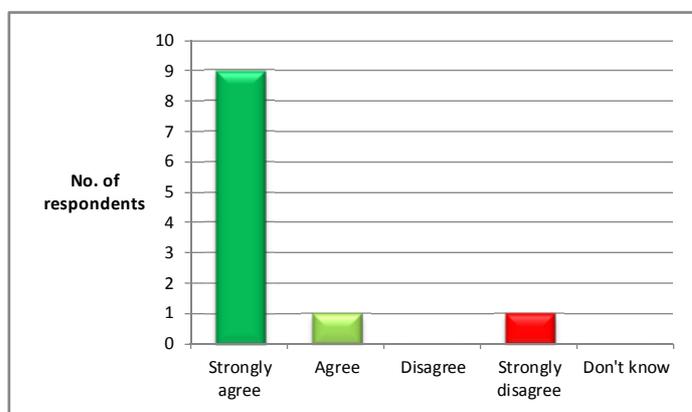


Figure 32. IUCN respondents: 'the IUCN-Holcim partnership should be continued into a second phase'

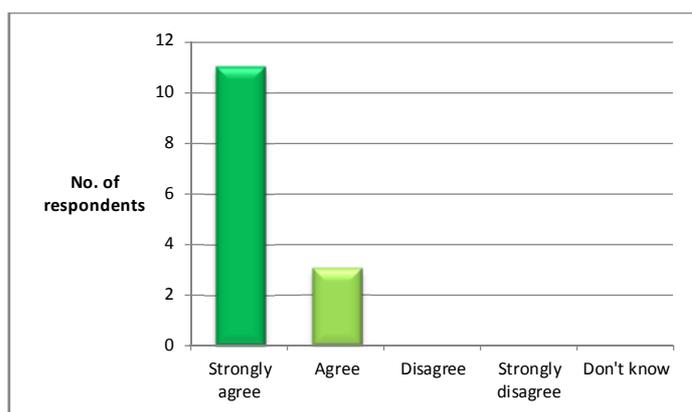


Figure 33. Holcim respondents: 'the IUCN-Holcim partnership should be continued into a second phase'

#### **5.4. Content of a second phase**

Priority content for a second phase is implicit in the discussion above. Without prejudice to the provisional ideas for the future that the SC discussed at its March meeting, the following priorities can be proposed.

First and foremost, the partners should work to make the BMS that they have developed an operational reality at selected Holcim sites around the world. (It will take longer than three or even five years to cover them all.) While the training and support are formally Holcim responsibilities, there is a continuing major role for IUCN in monitoring and advising on this inevitably lengthy process – including the development and delivery of the necessary training programmes. Two expanded challenges should also be addressed: first, to develop the conceptual and operational linkage between the BMS and broader management of Holcim operations' impacts on ecosystems, and secondly, to ensure that the BMS is applicable to, and used at, all types of Holcim site, in conjunction as appropriate with other tools and procedures that are already in place.

While focus is necessary in this or any similar partnership, the focus of IUCN and Holcim should not be restricted to the BMS and its ramifications. Several other areas of potential have been developed during the first phase and should now be exploited. A stronger suite of activities should be developed in the socio-economic and sustainable livelihoods fields, building on the shared B<sup>2</sup>MD effort and making a more serious effort to exploit the depth of IUCN expertise in these fields, notably through continued joint participation in TEEB and possible subsequent work. In an effort to build thematic symmetry as well as the operational kind, the partners should build ways to share some of Holcim's learning in the field of alternative fuels with the corresponding programme in IUCN.

The third of the current strategic objectives is the one towards which, for obvious reasons, the least progress has been made so far. Once again, there is now important potential to open up this line of effort in the second phase. Work to engage with the building materials sector as a whole should be carried out at the global level through the existing channels, notably the Cement Sustainability Initiative (see section 3.1.3 and recommendation 4, page 13). The partners should also select three countries in South or East Asia (see recommendation 9, page 28) in which to mirror this effort with a programme of engagement with their national sectors. IUCN's networks and convening role could be fruitfully applied to this task, without raising as many of the operational issues as emerged during phase one work at country level.

#### **Recommendations**

12. The leading, but not sole, content of the second phase should be a joint effort to put the Biodiversity Management System into operation at selected Holcim sites around the world. Work should also be done to develop the linkages between the BMS and broader management of impact on ecosystems, and to ensure that the BMS is used, as applicable, at all types of Holcim site.
13. The partners should revise and clarify their second current strategic objective. Recommended content includes:
  - transfer of Holcim experience in the field of alternative fuels to the relevant thematic programme in IUCN;
  - continuing active Holcim engagement in IUCN's work on the economics of biodiversity;
  - substantive collaboration on the application of biodiversity-based microenterprise development.

## 5.5. Implementation of a second phase

The most fundamental and challenging recommendation about implementation of a second phase was made in section 5.1 above. It concerns **the achievement of stronger symmetry in the partnership**.

Another fundamental question concerns the **appropriate level of resourcing** for the next phase. No precise recommendation can be made about this, although the views of questionnaire respondents can be shown (Figure 34 and Figure 35). It is clearly not advisable to aim at a higher annual budget than was applied during the first phase. Not only are there limits to Holcim’s available funds, but there are limits to IUCN’s absorptive capacity, particularly if work is to be adequately monitored and managed. There could be arguments for a tighter focus, a smaller Panel (see below) and a lower budget. But the scope of the second phase activities identified above suggests that a partnership budget on the same scale as the current one would be appropriate.

**Governance and management** arrangements for the partnership have been shown to be broadly appropriate, although various recommended enhancements were also identified in sections 4.3 and 4.6 above. It is clear, however, that the partners should rationalise and clarify the ways in which they can collaborate at regional and country levels. Recommendation 7 in section 3.3 identifies the need to develop and communicate clear guidelines to IUCN regional and country offices and Holcim operating companies on the circumstances in which such collaboration should be beneficial; the partnership objectives to which it should contribute; the ways in which it should be funded, including possible effort by IUCN offices to secure co-finance; and the roles of the IUCN Secretariat in brokering technical services from Members, Commissions or others; providing such services itself; and/or providing convening or advocacy inputs to work aimed at the building materials sector as a whole. All these roles and arrangements should be discussed and defined in explicit and thorough consultation with the relevant offices of the Secretariat at regional and, where appropriate, country level.

The **Independent Expert Panel** has played the dominant role in delivering IUCN’s inputs to the first phase of the partnership. The Panel should still contribute in the second phase, but no longer in such a central way. As recommended in section 3.2 above, it should be smaller and should focus on advisory support to Holcim at global and country levels in the operationalisation of the BMS.

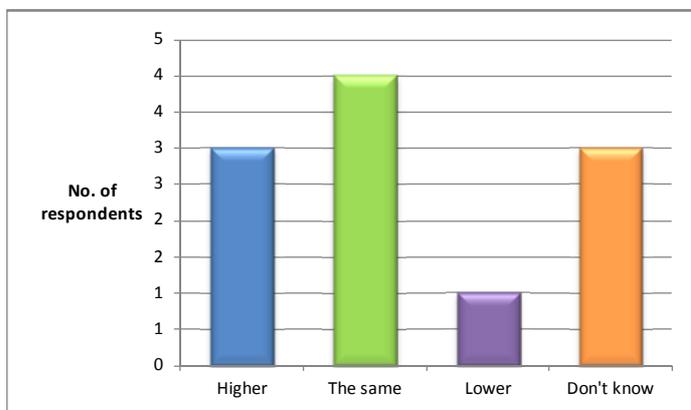


Figure 34. IUCN respondents: what level of resources for next phase of partnership?

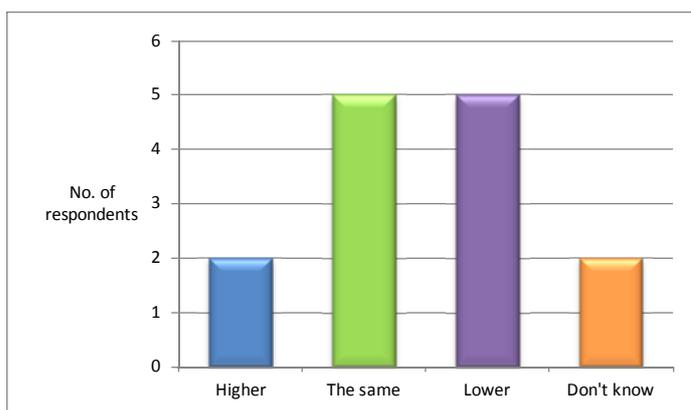


Figure 35. Holcim respondents: what level of resources for next phase of partnership?

As recommended in section 3.1.2, **secondments** from each partner to the other should be included in implementation arrangements for the second phase.

It is understood that the next phase of the partnership will be mainstreamed into Holcim's environmental programme and staff structure, and will no longer be treated as a separate project. On the IUCN side, another fundamental question about implementation arrangements for a second phase concerns the **nature of the technical inputs that the Secretariat will make from its headquarters**. During the first phase, apart from some inputs from the Chief Economist and colleagues, these were largely focused on the role of the Relationship Manager. If the Panel now plays a somewhat reduced role in the second phase, there will be a broader challenge for the Secretariat to engage more actively in support of all three objectives – with complementary roles for Commissions and, potentially, Members. In practice, for this to happen, those inputs will have to be planned and budgeted from year to year so that the necessary staff time can be made available. At the start of the second phase, and in subsequent planning and budgeting exercises, this implies more detailed preparation at IUCN than was undertaken in work planning for the first phase, and new demands on the Relationship Manager as she negotiates the necessary arrangements in the Secretariat's internal market. All such arrangements should be made in the context of structured understanding and action to ensure **appropriate levels of engagement by Commissions and Members**.

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

### **Background**

The Holcim-IUCN relationship, based on a three year agreement that started in 2007, aims at developing robust ecosystem standards for the Holcim Group, contributing to sector-wide improvements in the cement and related sectors.

The relationship has three strategic objectives:

- Review of Holcim Group’s biodiversity conservation management and develop a more comprehensive corporate biodiversity policy and strategy;
- Support sustainable livelihoods and biodiversity conservation joint initiatives of mutual interests;
- Promote good practice by sharing the learning with wider industry and communities.

In support of the objectives, the agreement between Holcim and IUCN identifies specific areas of cooperation in two work streams, the first covering the approach to biodiversity management of the Group and the second covering joint sustainable livelihood initiatives.

The agreement is implemented on an annual basis through an annual workplan and budget by dedicated relationship managers in both Holcim and IUCN. In support of the agreement, an Independent Expert Panel has been established to provide scientific and quality assurance support in select areas of Holcim activities. The activities of the panel have been agreed through a Terms of Reference.

### **Commissioning Authority and Intended Users**

This review is commissioned on the authority of the Director General of IUCN, as outlined in section 13.4 of the Agreement. The review will be managed independently by the Programme Cycle Management Unit on behalf of the Director General and the Parties to the Agreement.

The intended users of the review include the Director General, the Chief Executive Officer of Holcim, the Relationship Managers for both IUCN and Holcim and the IUCN Business and Biodiversity Programme, and the IUCN-Holcim Steering Committee. As per the IUCN Evaluation Policy the review will be publicly available on IUCN’s website.

### **Scope of the Review**

The scope of the review covers all aspects of the “Programme Agreement” between Holcim and IUCN, agreed in 2007. In particular, this includes the activities of IUCN and Holcim under the agreement and the functioning of the Independent Expert Panel.

## Objectives

The overall purpose of the review is to provide an external assessment of the Agreement as the basis for defining the need, nature and scope of a possible follow-up agreement.

The specific objectives of the review

1. To assess the extent to which the justification for the partnership is still valid;
2. To assess the extent to which the organizational arrangements, management and governance of the partnership was effective and still appropriate and provides a model for the next phase of the partnership;
3. To assess the extent to which the objectives of the Agreement have been fulfilled;
4. To assess the value of the partnership to IUCN and Holcim;
5. To make a clear main recommendation on the continuation and format of the partnership; and additional recommendations on the objectives above.

## Methods

The review will make use of standard evaluation data collection techniques (surveys, interviews, document review) and will be supplemented by data and analyses collected for the “Relationship Indicators” (see Annex 2).

The review will be supported by a matrix of issues, questions, indicators and data sources to aid the review team in their data collection and analysis, but will not serve as a limit to their investigation.

[Section on budget omitted.]

## Timeframe and Deliverables

Subject to agreement, the milestones for this review include:

- Agreement on the Terms of Reference (March 2010)
- Preparation of a review matrix of issues and questions (March 2010)
- Recruitment of a reviewer or review team (March 2010)
- Development of the Review Inception Note (the review team’s reaction to the Terms of Reference, methodology, workplan and detailed budget) and workplan by the review team (April 2010)
- Data collection and analysis (August-September 2010)
- Provision of the draft report (October 2010)
- Discussion and finalization of the review report (end October 2010)

- **Annex 1: Review Matrix (to be developed upon agreement of the objectives of the review)**

The review matrix (once developed) will contain issues, questions, sub-questions, indicators, data sources and analysis methods, as a starting point for the review team.

### Questions for the Review

#### Justification for the partnership (objective 1)

- To what extent is the rationale for the partnership still valid for IUCN? For Holcim?
- Is the rationale for the partnership still valid from an external perspective?

#### Organizational arrangements, management and governance of the partnership (objective 2)

- How effective are the Relationship Managers in contributing to the implementation of the Agreement?
- What other organizational measures would aid implementation of the Agreement?
- What role has Holcim's local operations and IUCN's Regional / Country Offices played in implementation of the Agreement?
- Has this role been effective? What are the gaps?
- Has the budget allocation been adequate for delivering the objectives and specific areas of cooperation of the Agreement?
- How effectively has the Agreement been administered and managed financially by IUCN?
- How effectively have the secondments contributed to the implementation of the Agreement?
- What has been the role of the Steering Committee? Has the Steering Committee been effective in supporting and guiding implementation of the Agreement?
- How effectively have the principles of transparency and confidentiality been applied?

#### Expert panel (objective 2)

- To what extent has the Expert Panel fulfilled its Terms of Reference
- To what extent is the Expert Panel valued by IUCN and Holcim
- To what extent have the findings and recommendations generated been clear and practical?
- In what ways have the findings and recommendations been used by IUCN? By Holcim?
- How transparent has the Expert Panel been in communicating its findings and recommendations?

#### Objectives of the partnership (objective 3)

- To what extent has IUCN been successful in reviewing Holcim's corporate biodiversity strategy and policy? What has been the consequence of this review?
- What joint initiatives have been planned and implemented for sustainable livelihoods and biodiversity conservation? What has been the consequence of these initiatives?
- What learning has been gathered as part of the partnership? How and to what effect has this been shared with the wider building materials industry?

Value of the Partnership (objective 4)

- What value has the partnership been to IUCN? To Holcim?
- What tangible products or services have been the result of the partnership?
- What measures could IUCN or Holcim undertake to improve value to each party?

Main recommendation (objective 5)

- Should the partnership be renewed? In what form and purpose? At what level of resources? With what implementation arrangements?

**Annex 2: Relationship Indicators (to be attached upon agreement of their utility in this exercise)**

The relationship indicators are provided to the review team as an additional resource.

**PROPOSED RELATIONSHIP INDICATORS FOR**

**THE IUCN-HOLCIM RELATIONSHIP**

**Monitoring the quality and evolution of the partnership relationship &**

**Benefits to partners over time - added value to the work of each organization**

Aspect of relationship	Indicators	Measurements & Sources of information
<b>1. Credibility, Reputation and Standard Setting</b>	1.1 IUCN and Holcim are respected as leaders in this field	Stakeholders' survey (annual)  Down John sustainability index (from the entrance of Holcim in index)
	1.2 The relationship is recognized as a model in the cement and aggregate sector, and in the environment-development community.	Stakeholders' survey  Comparison with other relationships established after this one
	1.3 Relationship outputs set a standard for practice, demonstrating innovation leadership and vision	Adoption of outputs by other organizations and companies in same and related sectors  Citations in professional journals  The outputs are used by experts and Holcim country operations
<b>2. Transparency</b>	2.1 Early information, complete, newsletter or other ways of informing all parties on a regular basis	Relationship Managers
	2.2 Information on relevant issues is shared in line with confidentiality and transparency clauses in the	Relationship Managers and SC independent survey/interviews

Aspect of relationship	Indicators	Measurements & Sources of information
	Agreement	
<b>3. Responsiveness</b>	3.1 Inquiries promptly answered, providing complete information	Stakeholders' survey
<b>4. Good Governance</b>	4.1 Authority structure, accountabilities are clear, assumed and comply with good practice internal controls	Holcim and IUCN internal and external audits, including IUCN Commission review
<b>5. Accountability, learning, connectivity and knowledge management</b>	5.1 Steady acquisition and sharing of knowledge across the organization – existence of newsletters, forums, seminars, blogs, etc, participation in these events	Relationship Managers reports Meeting and site reviews' feedback forms
	5.2 Links between regional and global offices are strengthened.	Number of country based relationships established Knowledge between country offices is shared Updates are available regularly
	5.3 Links established between IUCN members and IUCN offices via Holcim	Number of relationships established with Holcim involving IUCN Regional and Country offices and existing (and potential) members

### Monitoring the delivery of specific work outputs

The management and delivery of agreed outputs (products, services) should be monitored in the following areas:

1. Delivery of outputs as planned, on time, on budget. Explanations for deviations from workplans, budgets
2. Unplanned outputs and explanations for unanticipated outputs.
3. Usefulness and influence of product or service – monitoring intended use
4. Cost effectiveness, efficiency – use of time and resources – cost of output relative to significance.
5. Reporting on outputs – to partners, to stakeholders – on time, complete, of good quality.
6. Innovation / best practice: Do the products and services represent innovative solutions and/or best practice?

## Annex 2. Review matrix

Review area	Question	Sub-question	Indicator(s)	Data source/collection method
Relevance	To what extent is the rationale for the partnership still relevant for IUCN and for Holcim?		Degree of relevance perceived by participants	Interviews Questionnaire
	Is the rationale for the partnership still valid from an external perspective?		Validity as assessed by reviewer	Partnership records Interviews Questionnaire
	To what extent is the Expert Panel valued by IUCN and Holcim?		Valuation by participants	Interviews Questionnaire
Effectiveness	To what extent have the objectives of the partnership been fulfilled?	What tangible products or services have resulted from the partnership?	List of products and services	Partnership records
		To what extent has IUCN been successful in reviewing Holcim's corporate biodiversity strategy and policy? What have been the consequences of the review?	Judgement of partnership participants and other observers (if available)	Interviews Questionnaire
		What joint initiatives have been planned and implemented for sustainable livelihoods and biodiversity conservation? What have been the consequences of these initiatives?	List of initiatives and reported consequences	Partnership records
		What learning has been gathered through the	Judgement of partnership participants and other	Interviews Questionnaire

External review of the IUCN-Holcim partnership agreement

Review area	Question	Sub-question	Indicator(s)	Data source/collection method
		partnership?	observers (if available)	
		How and to what effect has learning generated by the partnership been shared with the wider building materials industry?	Reporting, publicity material, records of presentations	Partnership records
		Are IUCN and Holcim respected as leaders in this field?	Judgement of partnership participants and other observers (if available)  Holcim score on Dow Jones Sustainability Index	Interviews Questionnaire Dow Jones Sustainability Index
	What has the Expert Panel contributed to the effectiveness of the partnership?	To what extent has the Expert Panel fulfilled its TOR?	Degree to which Panel reports respond to its TOR	Partnership records Interviews Questionnaire
		To what extent have the findings generated by the Panel been clear and practical?	Judgement of partnership participants and other observers (if available)	Interviews Questionnaire
		In what ways have the Panel's findings and recommendations been used by IUCN and by Holcim?	Reported uses	IUCN and Holcim participants' reports
	What has the value of the partnership been?	Do the products and services of the partnership represent innovative solutions and/or best practice?	Judgement of partnership participants and other observers (if available)	Interviews Questionnaire
		What use has been made of products or services generated by the partnership?	Reported uses	IUCN and Holcim participants' reports
		What has the value of the partnership been for IUCN?	Judgement of IUCN participants	Interviews Questionnaire

External review of the IUCN-Holcim partnership agreement

Review area	Question	Sub-question	Indicator(s)	Data source/collection method
		What has the value of the partnership been for Holcim?	Judgement of Holcim participants	Interviews Questionnaire
		What measures could IUCN or Holcim take to improve the value of the partnership for each party?	Judgement of IUCN and Holcim participants	Interviews Questionnaire
Efficiency	Have partnership outputs been delivered efficiently?	Have partnership outputs been delivered as planned?	Comparison of partnership outputs with partnership planning	Partnership records
		Have partnership outputs been delivered on time?	Comparison of partnership outputs with partnership planning	Partnership records
		Have partnership outputs been delivered on budget?	Comparison of partnership financial reports with budgets	Partnership records
		Have partnership outputs been delivered cost effectively?	Comparison of partnership outputs with financial reports	Partnership records
		Have partnership outputs been reported comprehensively and punctually to partners and stakeholders?	Timing and content of partnership reports	Partnership records
	What is the influence of governance arrangements and performance on the efficiency of the partnership?	What has been the role of the Steering Committee? Has the Steering Committee been effective in supporting and guiding implementation of the partnership agreement?	Judgement of partnership participants	Interviews Questionnaire
	How effectively have the principles of transparency and confidentiality been applied?	How effectively have the principles of transparency and confidentiality been applied in the partnership overall?	Judgement of partnership participants	Interviews Questionnaire
		How transparent has the Expert	Judgement of partnership	Interviews

External review of the IUCN-Holcim partnership agreement

Review area	Question	Sub-question	Indicator(s)	Data source/collection method
		Panel been in communicating its findings and recommendations?	participants	Questionnaire
	What is the influence of funding arrangements and performance on the efficiency of the partnership?	Has the budget allocation been adequate for delivering the objectives and specific areas of co-operation of the partnership agreement?	Judgement of partnership participants, partnership financial reports	Interviews Questionnaire Partnership records
	What is the influence of organisational arrangements and performance on the efficiency of the partnership?	How effective are the Relationship Managers in contributing to the implementation of the partnership agreement?	Judgement of partnership participants	Interviews Questionnaire
		What role have Holcim's local operations and IUCN's regional/ country offices played in implementation of the agreement? How effective have they been and what are the gaps?	No. of engagements at local level  Outputs generated from such level  Judgement of partnership participants	Partnership records Interviews Questionnaire
		What links have been established between IUCN Members and IUCN offices via Holcim?	No. of relationships established.	Partnership records
		How efficiently has the agreement been administered and managed financially by IUCN?	Judgement of partnership participants	Interviews Questionnaire
		How effectively have secondments contributed to	Judgement of partnership participants	Interviews Questionnaire

External review of the IUCN-Holcim partnership agreement

Review area	Question	Sub-question	Indicator(s)	Data source/collection method
		the implementation of the agreement?		
		What other organisational measures would aid implementation of the agreement?	Judgement of partnership participants	Interviews Questionnaire
Renewal of the partnership	Should the partnership be renewed, and if so, how?	What should be the form and purpose of a next phase of the partnership?	Judgement of partnership participants	Interviews Questionnaire Partnership records
		What level of resources should be provided for a next phase of the partnership?	Judgement of partnership participants	Interviews Questionnaire Partnership records
		What implementation arrangements would be appropriate for a next phase of the partnership?	Judgement of partnership participants	Interviews Questionnaire Partnership records

### Annex 3. Persons interviewed

J.M. Alvarez	Director, Economy and Environmental Governance Group, IUCN
A. Athanas	Senior Programme Officer, Business and Biodiversity Programme, IUCN
J. Bishop	Chief Economist, IUCN
G. Bos	Relationship Manager, Holcim
G. Carbone	Relationship Manager, IUCN
N. Chadwick	Media Relations Officer, IUCN
B. Dubach	Senior Sustainable Development Adviser, Holcim
H. Friedrich	Head, IUCN Regional Office for Europe
D. Gross	Member, Independent Expert Panel
P. Gysel	Deputy Head, Corporate Communications, Holcim
T. Imbach	Lead Geologist, Holcim
C. Imboden	Chair, Independent Expert Panel
W. Jackson	Deputy Director General, IUCN
A. Kabraji	Regional Director, Asia, IUCN
A. Khosla	President, IUCN
S. Koch	Head, Social Responsibility, Holcim
J. Lehmann	Senior Project Finance Officer, Global Finance Group, IUCN
G. Lesko	Holcim Hungary
C. Mahon	Chair, IUCN United Kingdom National Committee
S. Mainka	Head, Science and Learning, IUCN
J. Marton-Lefèvre	Director General, IUCN
P-J. Meynell	Member, Independent Expert Panel
R. Mirza	Head, Sustainable Development, Holcim
M. Rafiq	Senior Vice President, Programmes, The Rainforest Alliance
D. Richards	Member, Independent Expert Panel
D. Shannon	Biodiversity and Community Engagement Manager, Aggregate Industries UK
J. Smart	Director, Biodiversity Conservation Group, IUCN
M. Stalmans	Member, Independent Expert Panel
R. Stenger	Head, Environment, Holcim
R. Tong	Biodiversity Consultant, Environmental Relations, Holcim
G. Tremblay	Holcim Spain
P. Verhagen	Consultant
B. Vonnegut	Secretary, Executive Committee, Holcim
S. Yasaratne	Head, Business and Biodiversity Programme, IUCN Asia Regional Office

## Annex 4. Questionnaire survey for IUCN respondents

**IUCN-Holcim partnership review survey for IUCN respondents**

**1. Introduction**

Thank you for contributing to this external review of the collaborative partnership between IUCN and Holcim that was launched in January 2007. It is intended to help the partners assess the relevance, effectiveness and efficiency of their collaboration, the value that it is delivering to them, and the need for possible continuation of the partnership. The review will be completed by the end of September 2010 and will be presented to the Steering Committee of the partnership.

I am an independent consultant based in the UK and contracted by IUCN, on behalf of both partners, to carry out this review.

I will interview as many people as possible in the course of the review, but aim to send this questionnaire to the full list of informants and stakeholders that I have developed in consultation with IUCN and Holcim. This version of the questionnaire is being sent to all those involved with the partnership from the IUCN side (including the Expert Panel and some people not working with IUCN but suggested as useful informants by IUCN). A similar questionnaire is being sent to informants on the Holcim side.

Even if I have been able to talk with you about the partnership, please do still complete this questionnaire. It is very helpful to be able to summarise views in this way.

I would be grateful if you would complete the survey no later than 27 August, 2010.

Your response is anonymous, and all inputs received during this review will be treated in strict confidence.

If you have any questions, please contact me. And if you feel that you do not know enough about the partnership even to start on the questionnaire, do please let me know. That in itself would be significant for the review.

Thanks again.

Stephen Turner.  
sdtturner@africa.com

Page 1

**IUCN-Holcim partnership review survey for IUCN respondents**

**2. Relevance**

Please indicate the extent to which you agree with the following statements. There is a space at the end of the page for you to add comments and explanations.

**1. The rationale for the IUCN-Holcim partnership is still relevant for IUCN.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**2. The Expert Panel established through the partnership with Holcim is valued by IUCN.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**3. Please use this space for any comments, explanations or suggestions with regard to your answers above.**

Page 2

**IUCN-Holcim partnership review survey for IUCN respondents**

**3. Effectiveness**

**1. What tangible products or services have resulted from the IUCN-Holcim partnership so far?**

**2. IUCN has been successful in reviewing Holcim's corporate biodiversity strategy and policy.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**3. What learning has been gathered through the partnership so far?**

**4. Learning generated through the partnership has been shared with the wider building materials industry.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 3

**IUCN-Holcim partnership review survey for IUCN respondents**

**5. How has sharing with the wider building materials industry been achieved?**

**6. Holcim is respected as a leader in the cement industry with regard to managing the environmental impacts of its operations and promoting the conservation of nature.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**7. Please explain or comment on your answer if you wish.**

**8. The Expert Panel has fulfilled its terms of reference.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**9. The findings generated by the Panel have been clear and practical.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 4

**IUCN-Holcim partnership review survey for IUCN respondents**

10. IUCN is using the Panel's findings and recommendations.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

11. Holcim is using the Panel's findings and recommendations.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

12. Please provide any comments or explanations you wish to give with regard to your answers on the performance of the Expert Panel.

13. The products and services of this partnership represent innovative solutions.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

14. The products and services of this partnership represent best practice.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 5

**IUCN-Holcim partnership review survey for IUCN respondents**

15. What use has been made of the products or services generated by this partnership?

16. What has been the value of the partnership for IUCN?

Page 6

**IUCN-Holcim partnership review survey for IUCN respondents**

**4. Efficiency**

1. Partnership outputs have been delivered as planned.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

2. Partnership outputs have been delivered on schedule.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

3. Partnership outputs have been delivered on budget.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

4. Partnership outputs have been delivered cost effectively.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 7

**IUCN-Holcim partnership review survey for IUCN respondents**

5. Partnership outputs have been reported comprehensively to partners and stakeholders.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

6. Please provide any comments or explanations you may wish to give with regard to the questions above.

7. The Steering Committee has been effective in supporting and guiding implementation of the partnership agreement.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

8. The principle of transparency has been effectively applied in the partnership.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 8

**IUCN-Holcim partnership review survey for IUCN respondents**

9. The principle of confidentiality has been effectively applied in the partnership.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

10. The Expert Panel has been transparent in communicating its findings and recommendations.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

11. The budget allocation been adequate for delivering the objectives and specific areas of co-operation of the partnership agreement.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

12. The Relationship Managers are effective in contributing to the implementation of the partnership agreement.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 9

**IUCN-Holcim partnership review survey for IUCN respondents**

13. Holcim's local operations have made an effective contribution to the implementation of the partnership agreement.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

14. IUCN's regional and country offices have made an effective contribution to the implementation of the partnership agreement.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

15. IUCN has administered the partnership finances efficiently.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

16. Overall, IUCN has administered the partnership agreement efficiently.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 10

**IUCN-Holcim partnership review survey for IUCN respondents**

17. The Holcim secondment to IUCN made an effective contribution to achievement of the partnership's objectives.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

18. Please use this space for any comments, explanations or suggestions with regard to your answers above.

Page 11

**IUCN-Holcim partnership review survey for IUCN respondents**

**5. The future**

1. The IUCN-Holcim partnership should be continued into a second phase.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

2. What should be the main purpose, theme(s) and focus for a second phase?

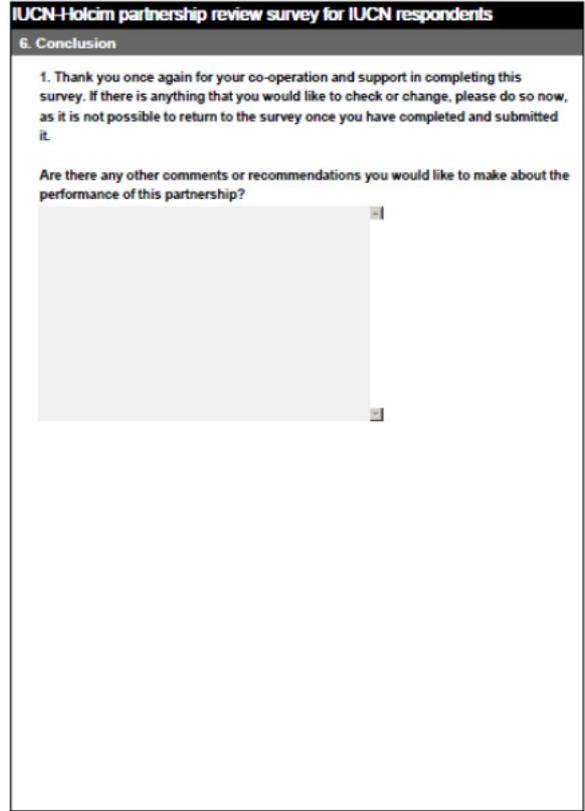
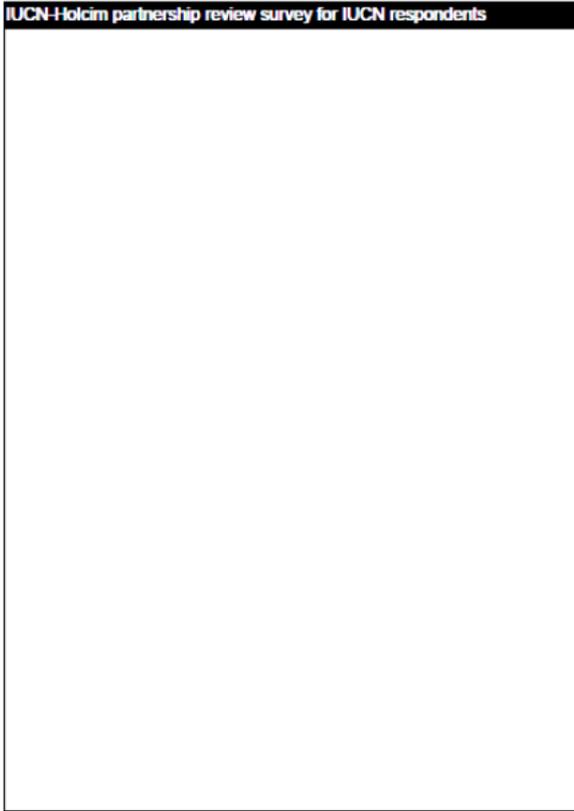
3. What level of resources should be provided for a next phase of the partnership?

Higher  
 The same  
 Lower  
 Don't know

4. Please add any comments or explanation you would live to give with regard to the resourcing of the partnership.

5. What implementation arrangements would be appropriate for a next phase of the partnership?

Page 12



## Annex 5. Questionnaire survey for Holcim respondents

**IUCN-Holcim partnership review survey for IUCN respondents**

**1. Introduction**

Thank you for contributing to this external review of the collaborative partnership between IUCN and Holcim that was launched in January 2007. It is intended to help the partners assess the relevance, effectiveness and efficiency of their collaboration, the value that it is delivering to them, and the need for possible continuation of the partnership. The review will be completed by the end of September 2010 and will be presented to the Steering Committee of the partnership.

I am an independent consultant based in the UK and contracted by IUCN, on behalf of both partners, to carry out this review.

I will interview as many people as possible in the course of the review, but aim to send this questionnaire to the full list of informants and stakeholders that I have developed in consultation with IUCN and Holcim. This version of the questionnaire is being sent to all those involved with the partnership from the IUCN side (including the Expert Panel and some people not working with IUCN but suggested as useful informants by IUCN). A similar questionnaire is being sent to informants on the Holcim side.

Even if I have been able to talk with you about the partnership, please do still complete this questionnaire. It is very helpful to be able to summarise views in this way.

I would be grateful if you would complete the survey no later than 27 August, 2010.

Your response is anonymous, and all inputs received during this review will be treated in strict confidence.

If you have any questions, please contact me. And if you feel that you do not know enough about the partnership even to start on the questionnaire, do please let me know. That in itself would be significant for the review!

Thanks again.

Stephen Turner.  
soturner@africa.com

Page 1

**IUCN-Holcim partnership review survey for IUCN respondents**

**2. Relevance**

Please indicate the extent to which you agree with the following statements. There is a space at the end of the page for you to add comments and explanations.

**1. The rationale for the IUCN-Holcim partnership is still relevant for IUCN.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**2. The Expert Panel established through the partnership with Holcim is valued by IUCN.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**3. Please use this space for any comments, explanations or suggestions with regard to your answers above.**

Page 2

**IUCN-Holcim partnership review survey for IUCN respondents**

**3. Effectiveness**

**1. What tangible products or services have resulted from the IUCN-Holcim partnership so far?**

**2. IUCN has been successful in reviewing Holcim's corporate biodiversity strategy and policy.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**3. What learning has been gathered through the partnership so far?**

**4. Learning generated through the partnership has been shared with the wider building materials industry.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 3

**IUCN-Holcim partnership review survey for IUCN respondents**

**5. How has sharing with the wider building materials industry been achieved?**

**6. Holcim is respected as a leader in the cement industry with regard to managing the environmental impacts of its operations and promoting the conservation of nature.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**7. Please explain or comment on your answer if you wish.**

**8. The Expert Panel has fulfilled its terms of reference.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**9. The findings generated by the Panel have been clear and practical.**

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 4

**IUCN-Holcim partnership review survey for IUCN respondents**

10. IUCN is using the Panel's findings and recommendations.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

11. Holcim is using the Panel's findings and recommendations.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

12. Please provide any comments or explanations you wish to give with regard to your answers on the performance of the Expert Panel.

13. The products and services of this partnership represent innovative solutions.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

14. The products and services of this partnership represent best practice.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 5

**IUCN-Holcim partnership review survey for IUCN respondents**

15. What use has been made of the products or services generated by this partnership?

16. What has been the value of the partnership for IUCN?

Page 6

**IUCN-Holcim partnership review survey for IUCN respondents**

**4. Efficiency**

1. Partnership outputs have been delivered as planned.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

2. Partnership outputs have been delivered on schedule.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

3. Partnership outputs have been delivered on budget.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

4. Partnership outputs have been delivered cost effectively.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

Page 7

**IUCN-Holcim partnership review survey for IUCN respondents**

5. Partnership outputs have been reported comprehensively to partners and stakeholders.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

6. Please provide any comments or explanations you may wish to give with regard to the questions above.

7. The Steering Committee has been effective in supporting and guiding implementation of the partnership agreement.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

8. The principle of transparency has been effectively applied in the partnership.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

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**IUCN-Holcim partnership review survey for IUCN respondents**

9. The principle of confidentiality has been effectively applied in the partnership.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

10. The Expert Panel has been transparent in communicating its findings and recommendations.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

11. The budget allocation been adequate for delivering the objectives and specific areas of co-operation of the partnership agreement.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

12. The Relationship Managers are effective in contributing to the implementation of the partnership agreement.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**IUCN-Holcim partnership review survey for IUCN respondents**

13. Holcim's local operations have made an effective contribution to the implementation of the partnership agreement.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

14. IUCN's regional and country offices have made an effective contribution to the implementation of the partnership agreement.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

15. IUCN has administered the partnership finances efficiently.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

16. Overall, IUCN has administered the partnership agreement efficiently.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

**IUCN-Holcim partnership review survey for IUCN respondents**

17. The Holcim secondment to IUCN made an effective contribution to achievement of the partnership's objectives.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

18. Please use this space for any comments, explanations or suggestions with regard to your answers above.

**IUCN-Holcim partnership review survey for IUCN respondents**

5. The future

1. The IUCN-Holcim partnership should be continued into a second phase.

Strongly agree  
 Agree  
 Disagree  
 Strongly disagree  
 Don't know

2. What should be the main purpose, theme(s) and focus for a second phase?

3. What level of resources should be provided for a next phase of the partnership?

Higher  
 The same  
 Lower  
 Don't know

4. Please add any comments or explanation you would live to give with regard to the resourcing of the partnership.

5. What implementation arrangements would be appropriate for a next phase of the partnership?

